

# U.S. Department of Education: Race to the Top Program

Technical Assistance Planning Workshop for States  
December 2009



# Goals for the Meeting

- Provide applicants with an overview of the notice and the application
  - The information we have released – what and where to find it
  - How the application works
  - Understanding the selection criteria – together with their related definitions, evidence, and performance measures
- Answer all of the questions we can:
  - Technical
  - Clarifying
  - Logistical

# Agenda

9:00-9:20	Welcome and Overview of the Notice
9:20-10:00	Understanding the Application
10:00-11:00	State Success Factor (A)(1), Participating LEAs and MOUs
11:00-11:15	Break
11:15-12:15	State Success Factors (A)(1), (A)(2), (A)(3) and Budget
12:15-1:15	Lunch on Own
1:15-3:00	Selection Criteria B, C and D
3:00-3:15	Break
3:15-4:00	Selection Criteria E, F and Priorities
4:00-4:30	Program Requirements, Application Submission, Competition Process, and Planning Considerations
4:30-5:00	Other Q&A and Closing

# Ground Rules

- Ask your questions as we go
- Time keeping
- Additional questions may be submitted to [racetothetop@ed.gov](mailto:racetothetop@ed.gov)
- Today's session will be transcribed and posted to [www.ed.gov/programs/racetothetop](http://www.ed.gov/programs/racetothetop), together with the presentation
- Cell phones on vibrate please
- Camera crews are here today.

# Introductions

- Josh Bendor  
*Race to the Top Team*
- Meredith Farace  
*Office of Elementary and Secondary Education*
- Jane Hess  
*Office of the General Counsel*
- Rachel Peternith  
*Office of the General Counsel*
- Joanne Weiss  
*Director, Race to the Top Program*  
*Senior Advisor to the Secretary*

# Overview of the Notice

# About Race to the Top

- \$4.35B competitive grant to encourage and reward states implementing comprehensive reforms across four key areas:
  - Adopting standards and assessments that prepare students for success in college and the workplace
  - Recruiting, rewarding and retaining effective teachers and principals
  - Building data systems that measure student success and inform teachers and principals how they can improve their practices
  - Turning around the lowest-performing schools
- With an overarching goal of:
  - Driving substantial gains in student achievement
  - Improving high school graduation and college enrollment
  - Narrowing achievement gaps

# Public Comments

- Clarified and strengthened competition based on public comments:
  - Received nearly 1,200 comments, ranging from one paragraph to 67 pages
  - Heard from individuals in all 50 States; over 550 individuals (mostly parents and teachers), 200 organizations, unions, and elected officials
- Stayed firm in commitment to four reforms, but listened and made many specific changes in response to what we heard



# Competition Timeline

## **Race to the Top – Phase 1**

November 18, 2009 Notices published in the Federal Register

December 8, 2009 Intent to Apply

January 19, 2010 Application deadline for Phase 1

April 2010 Winners announced for Phase 1

Feedback provided to unsuccessful applicants

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## **Race to the Top – Phase 2**

June 1, 2010 Application deadline for Phase 2

September 2010 Winners announced for Phase 2

# Overview of the Notice

## *States must meet:*

### **Application Requirements, e.g.:**

- Signatures of key stakeholders
- Certification from State's attorney general re: descriptions of State laws
- State Reform Conditions requirements
- Reform Plan requirements

### **Program/Other Requirements:**

- Evaluation
- Participating LEA scope of work
- Make work available
- Technical assistance
- State summative assessments

### **Eligibility Requirements:**

- Approved for State Fiscal Stabilization prior to award
- No legal barriers at State level to linking student achievement data to teachers and principals for purposes of evaluation

## *Applications will be scored based on:\**

### **Priorities:**

- Absolute: Comprehensive approach to education reform
- Competitive: Emphasis on STEM
- Invitational: Innovations for Improving Early Learning Outcomes
- Invitational: Expansion and adaptation of statewide longitudinal data systems
- Invitational: P-20 coordination, vertical and horizontal alignment
- Invitational: School-level conditions for reform, innovation, and learning

### **Selection Criteria:**

- State success factors
- Standards and assessments
- Data systems to support instruction
- Great teachers and leaders
- Turning around the lowest-achieving schools
- General

\* Note that invitational priorities are not scored.

# Overview of the Notice

## *States must meet:*

### **Application Requirements, e.g.:**

- Signatures of key stakeholders
- Certification from State's attorney general re: descriptions of State laws
- State Reform Conditions requirements
- Reform Plan requirements

### **Program/Other Requirements:**

- Evaluation
- Participating LEA scope of work
- Make work available
- Technical assistance
- State summative assessments

### **Eligibility Requirements:**

- Approved for State Fiscal Stabilization prior to award
- No legal barriers at State level to linking student achievement data to teachers and principals for purposes of evaluation

## *Applications will be scored based on:\**

basic information about what must be in the application

- Competitive: Innovative approach to education reform
- Competitive: Emphasis on STEM
- Invitational: Innovations for Improving Early Learning Outcomes
- Invitational: Expansion and adaptation of statewide longitudinal data systems
- Invitational: P-20 coordination, vertical and horizontal alignment
- Invitational: School-level conditions for reform, innovation, and learning

### **Selection Criteria:**

- State success factors
- Standards and assessments
- Data systems to support instruction
- Great teachers and leaders
- Turning around the lowest-achieving schools
- General

\* Note that invitational priorities are not scored.

# Overview of the Notice

## *States must meet:*

### **Application Requirements, e.g.:**

- Signatures of key stakeholders
- Certification from State's attorney general re: descriptions of State laws
- State Reform Conditions requirements
- Reform Plan requirements

### **Program/Other Requirements:**

- Evaluation
- Participating LEA scope of work
- Make work available
- Technical assistance
- State summative assessments


### **Eligibility Requirements:**

- Approved for State Fiscal Stabilization prior to award
- No legal barriers at State level to linking student achievement data to teachers and principals for purposes of evaluation

## *Applications will be scored based on:\**

### **Priorities:**

- Absolute: Comprehensive approach to education reform
- Competitive: Emphasis on STEM
- Invitational: Innovations for Improving Early Learning Outcomes



requirements for all Race to the Top grantees

revision and adaptation of  
final data systems  
coordination, vertical and  
horizontal alignment

- Invitational: School-level conditions for reform, innovation, and learning

### **Selection Criteria:**

- State success factors
- Standards and assessments
- Data systems to support instruction
- Great teachers and leaders
- Turning around the lowest-achieving schools
- General

\* Note that invitational priorities are not scored.

# Overview of the Notice

## *States must meet:*

### **Application Requirements, e.g.:**

- Signatures of key stakeholders
- Certification from State's attorney general re: descriptions of State laws
- State Reform Conditions requirements
- Reform Plan requirements

### **Program/Other Requirements:**

- Evaluation
- Participating LEA scope of work
- Make work available
- Technical assistance
- State summative assessments

### **Eligibility Requirements:**

- Approved for State Fiscal Stabilization **prior to award**
- No legal barriers at State level to linking student achievement data to teachers and principals for purposes of evaluation

## *Applications will be scored based on:\**

### **Priorities:**

- Absolute: Comprehensive approach to education reform
- Competitive: Emphasis on STEM
- Invitational: Innovations for Improving Early Learning Outcomes
- Invitational: Expansion and adaptation of statewide longitudinal data systems
- Invitational: P-20 coordination, vertical and horizontal alignment
- Invitational: School-level conditions for reform, innovation, and learning

### **Selection Criteria:**

- State success factors
- Standards and assessments
- must meet in order to be eligible for construction
- eligible for construction
- turning around the lowest-achieving schools
- General

\* Note that invitational priorities are not scored.

# Overview of the Notice

## *States must meet:*

### **Application Requirements:**

- Signatures of key officials must address in application
- Certification from the Governor
- State Reform Plan: descriptions of State laws
- State Reform Conditions requirements
- Reform Plan requirements

### **Program/Other Requirements:**

- Evaluation
- Participating LEA scope of work
- Make work available
- Technical assistance
- State summative assessments

### **Eligibility Requirements:**

- Approved for State Fiscal Stabilization prior to award
- No legal barriers at State level to linking student achievement data to teachers and principals for purposes of evaluation

## *Applications will be scored based on:\**

### **Priorities:**

- Absolute: Comprehensive approach to education reform
- Competitive: Emphasis on STEM
- Invitational: Innovations for Improving Early Learning Outcomes
- Invitational: Expansion and adaptation of statewide longitudinal data systems
- Invitational: P-20 coordination, vertical and horizontal alignment
- Invitational: School-level conditions for reform, innovation, and learning

### **Selection Criteria:**

- State success factors
- Standards and assessments
- Data systems to support instruction
- Great teachers and leaders
- Turning around the lowest-achieving schools
- General

\* Note that invitational priorities are not scored.

# Overview of the Notice

## *States must meet:*

### **Application Requirements, e.g.:**

- Signatures of key stakeholders
- Certification from the state
- State Reform Commission re: descriptions of areas that earn competitive preference points
- State Reform Commission
- Reform Plan requirements

### **Program/Other Requirements:**

- Evaluation
- Participating LEA scope of work
- Make work available
- Technical assistance
- State summative assessments

### **Eligibility Requirements:**

- Approved for State Fiscal Stabilization prior to award
- No legal barriers at State level to linking student achievement data to teachers and principals for purposes of evaluation

## *Applications will be scored based on:\**

### **Priorities:**

- Absolute: Comprehensive approach to education reform
- Competitive: Emphasis on STEM
- Invitational: Innovations for Improving Early Learning Outcomes
- Invitational: Expansion and adaptation of statewide longitudinal data systems
- Invitational: P-20 coordination, vertical and horizontal alignment
- Invitational: School-level conditions for reform, innovation, and learning

### **Selection Criteria:**

- State success factors
- Standards and assessments
- Data systems to support instruction
- Great teachers and leaders
- Turning around the lowest-achieving schools
- General

\* Note that invitational priorities are not scored.

# Overview of the Notice

## *States must meet:*

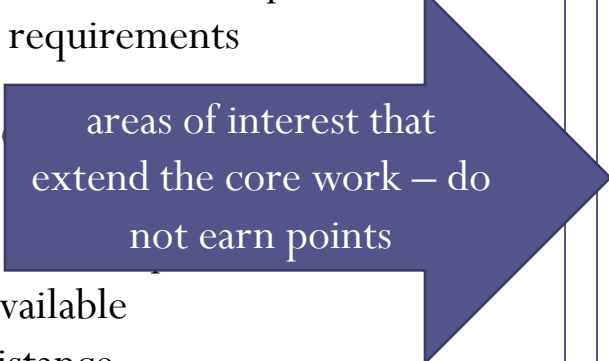
### **Application Requirements, e.g.:**

- Signatures of key stakeholders
- Certification from State's attorney general re: descriptions of State laws
- State Reform Conditions requirements
- Reform Plan requirements

### **Program/Other**

- Evaluation
- Participating
- Make work available
- Technical assistance
- State summative assessments

areas of interest that  
extend the core work – do  
not earn points



### **Eligibility Requirements:**

- Approved for State Fiscal Stabilization prior to award
- No legal barriers at State level to linking student achievement data to teachers and principals for purposes of evaluation

## *Applications will be scored based on:\**

### **Priorities:**

- Absolute: Comprehensive approach to education reform
- Competitive: Emphasis on STEM
- Invitational: Innovations for Improving Early Learning Outcomes
- Invitational: Expansion and adaptation of statewide longitudinal data systems
- Invitational: P-20 coordination, vertical and horizontal alignment
- Invitational: School-level conditions for reform, innovation, and learning

### **Selection Criteria:**

- State success factors
- Standards and assessments
- Data systems to support instruction
- Great teachers and leaders
- Turning around the lowest-achieving schools
- General

\* Note that invitational priorities are not scored.



# Overview of the Notice

## *States must meet:*

### **Application Requirements, e.g.:**

- Signatures of key stakeholders
- Certification from State's attorney general re: descriptions of State laws
- State Reform Conditions requirements
- Reform Plan requirements

### **Program/Other Requirements:**

- Evaluation
- Participating LEA scope of work
- Make work available
- Technical assistance
- State summary accomplishments and plans that earn points

### **Eligibility Requirements:**

- Approved for State Fiscal Stabilization prior to award
- No legal barriers at State level to linking student achievement data to teachers and principals for purposes of evaluation

## *Applications will be scored based on:\**

### **Priorities:**

- Absolute: Comprehensive approach to education reform
- Competitive: Emphasis on STEM
- Invitational: Innovations for Improving Early Learning Outcomes
- Invitational: Expansion and adaptation of statewide longitudinal data systems
- Invitational: P-20 coordination, vertical and horizontal alignment
- Invitational: School-level conditions for reform, innovation, and learning

### **Selection Criteria:**

- State success factors
- Standards and assessments
- Data systems to support instruction
- Great teachers and leaders
- Turning around the lowest-achieving schools
- General

\* Note that invitational priorities are not scored.

# Additional Information in the Notices

- Scoring Rubric and Points (see Appendix B in all notices)
- Budget Guidance (in the notice inviting applications)
- Competition Review and Selection Process  
(in the notice inviting applications)
- Guidance on signing up LEAs (part of criterion (A)(1))  
(see Appendix D in all notices – also see FAQs)
- Evaluation (in the program/other requirements section of all notices)

# Understanding the Application

# How the Pieces Fit Together

## Two Types of Selection Criteria

- **State Reform Conditions Criteria** - used to assess State's progress and success in creating conditions related to the four ARRA education reform areas.
- **Reform Plan Criteria** - used to assess State's plan for future efforts in the four ARRA education reform areas.

# How the Pieces Fit Together

## The Parts to Respond to...

**For each criterion, there are up to three parts**

- **Narrative:** For each criterion the State addresses, the State writes its narrative response in the space provided. States should describe how they have addressed or will address that criterion.
- **Performance Measures:** For several selection criteria, the State is asked to provide goals and annual targets, baseline data, and other information.
- **Evidence:** Some selection criteria require specific information requested as supporting evidence. States may also include any additional information the State believes will be helpful to peer reviewers in judging the State's plan.

# State Reform Conditions

## Criterion Example

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# State Reform Conditions Criterion Example

(C)(1) Fully implementing a statewide longitudinal data system  
(24 points – 2 points per America COMPETES element)

**The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements (as defined in this notice).**

*In the text box below, the State shall describe which elements of the America COMPETES Act (as defined in this notice) are currently included in its statewide longitudinal data system.*

**Evidence:**

- **Documentation for each of the America COMPETES Act elements (as defined in this notice) that is included in the State's statewide longitudinal data system.**

*Recommended maximum response length: Two pages*

(Enter text here.)

# State Reform Conditions Criterion Example

(C)(1) Fully implementing a statewide longitudinal data system  
(24 points – 2 points per America COMPETES element)

criterion

**The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements (as defined in this notice).**

*In the text box below, the State shall describe which elements of the America COMPETES Act (as defined in this notice) are currently included in the State's statewide longitudinal data system.*

**Evidence:**

- **Documentation for each of the America COMPETES Act elements (as defined in this notice) that is included in the State's statewide longitudinal data system.**

*Recommended maximum response length: Two pages*

(Enter text here.)



# State Reform Conditions Criterion Example

(C)(1) Fully implementing a statewide longitudinal data system  
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*In the text box below, the State shall describe which elements of the America COMPETES Act (as defined in this notice) are currently included in its statewide longitudinal data system.*

**Evidence:**

- **Documentation for each of the America COMPETES Act elements (as defined in this notice) that is included in the State's statewide longitudinal data system.**

*Recommended maximum response length: Two pages*

(Enter text here.)

directions

# State Reform Conditions Criterion Example

(C)(1) Fully implementing a statewide longitudinal data system  
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*In the text box below, the State shall describe which elements of the America COMPETES Act (as defined in this notice) are currently included in its statewide longitudinal data system.*

## **Evidence:**

- **Documentation for each of the America COMPETES Act elements (as defined in this notice) that is included in the State's statewide longitudinal data system.**

*Recommended maximum response length: Two pages*

(Enter text here.)

evidence

# State Reform Conditions Criterion Example

(C)(1) Fully implementing a statewide longitudinal data system  
(24 points – 2 points per America COMPETES element)

**The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements (as defined in this notice).**

*In the text box below, the State shall describe which elements of the America COMPETES Act (as defined in this notice) are currently included in its statewide longitudinal data system.*

**Evidence:**

- **Documentation for each of the America COMPETES Act elements (as defined in this notice) that is included in the State's statewide longitudinal data system.**

pages

***Recommended maximum response length: Two pages***

(Enter text here.)

# State Reform Conditions Criterion Example

(C)(1) Fully implementing a statewide longitudinal data system  
(24 points – 2 points per America COMPETES element)

**The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements (as defined in this notice).**

*In the text box below, the State shall describe which elements of the America COMPETES Act (as defined in this notice) are currently included in its statewide longitudinal data system.*

**Evidence:**

**Documentation for each of the America COMPETES Act elements (as defined in this notice) that is included in the State's statewide longitudinal data system.**

*Recommended maximum*

(Enter text here.)

## **Application Requirement (d)**

The State must provide, for each State Reform Conditions Criterion that it chooses to address, a description of the State's current status in meeting that criterion and, at a minimum, the information requested as supporting evidence for the criterion and the performance measures, if any.

narrative

# Reviewer Guidance Example (C)(1)

(In Appendix B)

*General Reviewer Guidance for (C)(1): In judging the quality of the applicant's response to this criterion, reviewers should refer to what the criterion asks and to the evidence requested in the application and presented by the applicant (if any).*

*Reviewer Guidance Specific to (C)(1):*

- Applicants earn two (2) points for every element the State has, out of 12 elements possible.*

(C)(1) **(maximum total points: 24)** Fully implementing a statewide longitudinal data system: The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements.

# Reviewer Guidance Example (C)(1)

(In Appendix B)

guidance  
to  
reviewers

*General Reviewer Guidance for (C)(1): In judging the quality of the applicant's response to this criterion, reviewers should refer to what the criterion asks and to the evidence requested in the application and presented by the applicant (if any).*

*Reviewer Guidance Specific to (C)(1):*

- *Applicants earn two (2) points for every element the State has, out of 12 elements possible.*

(C)(1) **(maximum total points: 24)** Fully implementing a statewide longitudinal data system: The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements.

# Reviewer Guidance Example (C)(1)

(In Appendix B)

*General Reviewer Guidance for (C)(1): In judging the quality of the applicant's response to this criterion, reviewers should refer to what the criterion asks and to the evidence requested in the application and presented by the applicant (if any).*

*Reviewer Guidance Specific to (C)(1):*

- *Applicants earn two (2) points for every element the State has, out of 12 elements possible.*

points

(C)(1) **(maximum total points: 24)** Fully implementing a statewide longitudinal data system: The extent to which the State has a statewide longitudinal data system that includes all of the America COMPETES Act elements.

# Reform Plan Criterion Example

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# Reform Plan Criterion Example

## (D)(4) Improving the effectiveness of teacher and principal preparation programs (14 points)

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

- (i) Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the inState programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and
- (ii) Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals (both as defined in this notice).

*The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.*

*Recommended maximum response length: One page*

(Enter text here.)

# Reform Plan Criterion Example

## (D)(4) Improving the effectiveness of teacher and principal preparation programs (14 points)

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

- (i) Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the inState programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and
- (ii) Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals (both as defined in this notice).

*The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.*

*Recommended maximum response length: One page*

(Enter text here.)

(See application p. 41)

# Reform Plan Criterion Example

## (D)(4) Improving the effectiveness of teacher and principal preparation programs (*14 points*)

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

- (i) Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the inState programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and
- (ii) Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals (both as defined in this notice).

*The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.*

*Recommended maximum response length: One page*

(Enter text here.)

directions

# Reform Plan Criterion Example

## (D)(4) Improving the effectiveness of teacher and principal preparation programs (14 points)

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

- (i) Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the inState programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and
- (ii) Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals (both as defined in this notice).

*The State shall provide its detailed plan for this criterion in the text box below. The plan should include, at a minimum, the goals, activities, timelines, and responsible parties (see Reform Plan Criteria elements in Application Instructions or Section XII, Application Requirements (e), for further detail). Any supporting evidence the State believes will be helpful to peer reviewers must be described and, where relevant, included in the Appendix. For attachments included in the Appendix, note in the narrative the location where the attachments can be found.*

*Recommended maximum response length: One page*

(Enter text here.)

pages

# Reform Plan Criterion Example

## (D)(4) Improving the effectiveness of teacher and principal preparation programs (14 points)

<p>The extent to which the targets to—</p> <p>(i) Link student achievement to the effectiveness of students' teachers and principals and the effectiveness of teachers and principals to the effectiveness of the credentialing program in the State</p> <p>(ii) Expand preparation programs for teachers and principals producing effective teachers and principals</p> <p><i>The State shall provide information on the extent to which the targets to—</i></p> <p><i>The State shall provide information on the extent to which the targets to—</i></p> <p><i>should include, at a minimum, the following information:</i></p> <p><i>Reform Plan Criteria elements (e), for each criterion, the State must include the following information in the attachments included in the application:</i></p> <p><i>attachments can be found in the application.</i></p> <p><i>Recommended maximum number of pages: 10</i></p> <p>(Enter text here.)</p>	<p><b>Application Requirement (e)</b></p> <p>The State must provide, for each Reform Plan Criterion that it chooses to address, a detailed plan for use of grant funds that includes, but need not be limited to--</p> <ol style="list-style-type: none"> <li>(1) The key goals;</li> <li>(2) The key activities to be undertaken and rationale for the activities, which should include why the specific activities are thought to bring about the change envisioned and how these activities are linked to the key goals;</li> <li>(3) The timeline for implementing the activities;</li> <li>(4) The party or parties responsible for implementing the activities;</li> <li>(5) The information requested in the performance measures, where applicable, and where the State proposes plans for reform efforts not covered by a specified performance measure, the State is encouraged to propose performance measures and annual targets for those efforts; and</li> <li>(6) The information requested as supporting evidence, if any, for the criterion, together with any additional information the State believes will be helpful to peer reviewers in judging the credibility of the State's plan.</li> </ol>
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narrative

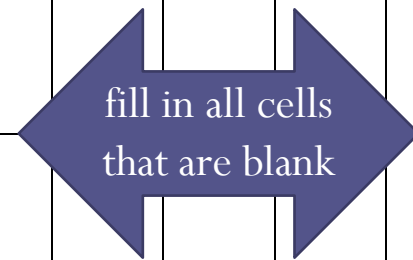
# About Performance Measures

- Performance measures include goals and annual targets, baseline data, and other information.
- Where performance measures are required, tables are provided in the application.
- In addition, the State may provide additional performance measures, baseline data, and targets for any criterion it chooses.
- Reviewers will consider, as part of their evaluations of the State's application, the extent to which the State has set ambitious yet achievable annual targets for the performance measures in support of the State's plan.
- To minimize burden, performance measures have been requested only where the Department intends to report nationally on them and for measures that lend themselves to objective and comparable data gathering.

# Performance Measures Example (D)(4)

Goals: Baseline data and annual targets

Performance Measures	Actual Data: Baseline (Current school year or most	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
<b>General goals to be provided at time of application:</b>	<b>Baseline data and annual targets</b>				
Percentage of teacher preparation programs in the State for which the public can access data on the achievement and growth (as defined in this notice) of the graduates' students.					
Percentage of principal preparation programs in the State for which the public can access data on the achievement and growth (as defined in this notice) of the graduates' students.					
[Optional: Enter text here to clarify or explain any of the data]					



Here, you fill in the actual/baseline data in the first column and annual targets in the next four columns. Reviewers will look for “ambitious yet achievable” targets. States will report status against these targets in annual reports to the Department.

# Performance Measures Example (D)(4)

## General data

Performance Measures	Actual Data: Baseline (Current school year or most	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
<b>General data to be provided at time of application:</b>					
Total number of teacher credentialing programs in the State.					
Total number of principal credentialing programs in the State.					
Total number of teachers in the State.					
Total number of principals in the State.					
[Optional: Enter text here to clarify or explain any of the data]					

This table is a general data collection form to support other calculations.  
Again, fill in only blank cells...on this table, you would fill in only the first column.



# Performance Measures Example (D)(4)

Heads-up: Data to be requested in annual reports

Performance Measures	Actual Data: Baseline (Current school year or most	End of SY 2010 - 2011	End of SY 2011 - 2012	End of SY 2012 - 2013	End of SY 2013 - 2014
<b>Data to be requested of grantees in the future:</b>					
Number of teacher credentialing programs in the State for which the information (as described in the criterion) is publicly reported.					
Number of teachers prepared by each credentialing program in the State for which the information (as described in the criterion) is publicly reported.					

There are no blank cells to fill in here – this table provides a heads-up that these data will be collected as part of annual reporting requirements in the future.

# Reviewer Guidance Example (D)(4)

(In Appendix B)

*General Reviewer Guidance for (D)(4): In judging the quality of the applicant's plan and annual targets for this criterion, reviewers should refer to what the criterion asks, to the evidence requested in the application and presented by the applicant (if any), and to the elements of a high-quality plan as set forth in application requirement (e).*

*Reviewer Guidance Specific to (D)(4):*

- *The criterion must be judged for both teachers and principals.*

(D)(4) **(maximum total points: 14)** Improving the effectiveness of teacher and principal preparation programs: The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

- Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the in-State programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and
- Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals (both as defined in this notice).

# Reviewer Guidance Example (D)(4)

(In Appendix B)

guidance  
to  
reviewers

*General Reviewer Guidance for (D)(4): In judging the quality of the applicant's plan and annual targets for this criterion, reviewers should refer to what the criterion asks, to the evidence requested in the application and presented by the applicant (if any), and to the elements of a high-quality plan as set forth in application requirement (e).*

*Reviewer Guidance Specific to (D)(4):*

- *The criterion must be judged for both teachers and principals.*

**(D)(4) (maximum total points: 14) Improving the effectiveness of teacher and principal preparation programs:** The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

- Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the in-State programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and
- Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals (both as defined in this notice).

# Reviewer Guidance Example (D)(4)

(In Appendix B)

*General Reviewer Guidance for (D)(4): In judging the quality of the applicant's plan and annual targets for this criterion, reviewers should refer to what the criterion asks, to the evidence requested in the application and presented by the applicant (if any), and to the elements of a high-quality plan as set forth in application requirement (e).*

*Reviewer Guidance Specific to (D)(4):*

- *The criterion must be judged for both teachers and principals.*

points

(D)(4) **(maximum total points: 14)** Improving the effectiveness of teacher and principal preparation programs: The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

- Link student achievement and student growth (both as defined in this notice) data to the students' teachers and principals, to link this information to the in-State programs where those teachers and principals were prepared for credentialing, and to publicly report the data for each credentialing program in the State; and
- Expand preparation and credentialing options and programs that are successful at producing effective teachers and principals (both as defined in this notice).

# Selection Criteria and Points

- A. State Success Factors (*125 points*)
- B. Standards and Assessments (*70 points*)
- C. Data Systems to Support Instruction (*47 points*)
- D. Great Teachers and Leaders (*138 points*)
- E. Turning Around the Lowest-Achieving Schools (*50 points*)
- F. General Selection Criteria (*55 points*)

# A. State Success Factors

## A. State Success Factors

- (A)(1) Articulating State's education reform agenda and LEAs' participation in it
- (A)(2) Building strong statewide capacity to implement, scale up, and sustain proposed plans
- (A)(3) Demonstrating significant progress in raising achievement and closing gaps

### Purposes:

- Front-end organizer
- Statewide reform agenda
- LEA commitment and participation
- State capacity
- Track record

# Criterion (A)(1) – The Big Picture

---



## (A)(1)(i) Articulating State's education reform agenda and LEAs' participation in it *(65 pts)*

The extent to which—

(i) The State has set forth a **comprehensive and coherent reform agenda** that clearly articulates its goals for implementing reforms in the four education areas described in the ARRA and improving student outcomes statewide, establishes a clear and credible path to achieving these goals, and is consistent with the specific reform plans that the State has proposed throughout its application; *(5 points)*

## (A)(1)(ii) Articulating State's education reform agenda and LEAs' participation in it *(65 pts)*

(ii) The **participating LEAs** (as defined in this notice) are **strongly committed** to the State's plans and to effective implementation of reform in the four education areas, as evidenced by Memoranda of Understanding (MOUs) (as set forth in Appendix D) or other binding agreements between the State and its participating LEAs (as defined in this notice) that include— *(45 points)*

- a) Terms and conditions that reflect strong commitment by the participating LEAs (as defined in this notice) to the State's plans;
- b) Scope-of-work descriptions that require participating LEAs (as defined in this notice) to implement all or significant portions of the State's Race to the Top plans; and
- c) Signatures from as many as possible of the LEA superintendent (or equivalent), the president of the local school board (or equivalent, if applicable), and the local teachers' union leader (if applicable) (one signature of which must be from an authorized LEA representative) demonstrating the extent of leadership support within participating LEAs (as defined in this notice); and

## (A)(1)(iii) Articulating State's education reform agenda and LEAs' participation in it (65 pts)

(iii) The **LEAs that are participating** in the State's Race to the Top plans (including considerations of the numbers and percentages of participating LEAs, schools, K-12 students, and students in poverty) **will translate into broad statewide impact**, allowing the State to reach its ambitious yet achievable goals, overall and by student subgroup, for— (15 points)

- a) Increasing student achievement in (at a minimum) reading/language arts and mathematics, as reported by the NAEP and the assessments required under the ESEA;
- b) Decreasing achievement gaps between subgroups in reading/language arts and mathematics, as reported by the NAEP and the assessments required under the ESEA;
- c) Increasing high school graduation rates (as defined in this notice); and
- d) Increasing college enrollment (as defined in this notice) and increasing the number of students who complete at least a year's worth of college credit that is applicable to a degree within two years of enrollment in an institution of higher education.

# Criterion (A)(1) & Participating LEAs

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# What are Participating LEAs?

- Participating LEAs are LEAs that choose to work with the State to implement all or significant portions of the State's Race to the Top plan.
- Participating LEAs must enter into a Memorandum of Understanding (MOU) or other binding agreement with the State. (Appendix D contains requirements for an MOU, including a model MOU that States may use as-is or edit, if they so choose.)
- The State must subgrant at least 50 percent of its grant award to participating LEAs.
  - This is a requirement of section 14006(c) of the ARRA, so we refer to this as a section 14006(c) subgrant.

# What Criteria can a State Establish for LEA Participation?

1. **Define the reform plans:** the State (in collaboration with key partners) develops its reform plans.
2. **Define “all or significant portions”:** the State defines what LEAs need to do to participate in “all or significant portions” of the State’s plans; this could include, for example, specifying the required significant portions of the State’s plan that participating LEAs must implement. Generally, we would expect LEAs to implement the State’s entire plan, as the various components are designed to work together to create a comprehensive approach to improving teaching and learning.
3. **Draft MOU:** the State drafts a standard MOU to be executed by the State and each participating LEA.
4. **Provide option to LEAs:** The State then gives all LEAs – including charter school LEAs – the opportunity to opt in as participating LEAs by signing an MOU. (Note: The State cannot select the participating LEAs or limit LEA participation using demographic or geographic characteristics or via a competition.)

# Calculating Section 14006(c) Subgrants

A State must calculate a section 14006(c) subgrant for each LEA by:

- a) Determining the LEA's share of total 2009 allocations of Part A of Title I of all LEAs that have signed MOUs and are participating in the State's Race to the Top plan (which can be calculated by dividing the LEA's allocation under Part A of Title I based on Part A of Title I in 2009, including both ESEA and ARRA funds, by the sum of the allocations under Part A of Title I of all of the participating LEAs); and then
- b) Multiplying the LEA's Title I share by the amount that must be subgranted to participating LEAs (*i.e.*, 50 percent of the State's total Race to the Top grant).

# Example of Section 14006(c) Subgrants

Let's say a State receives a \$200M Race to the Top grant.

It has 5 LEAs, of which 3 are participating in the State's Race to the Top grant.

Assume that those 3 LEAs received \$40M in Title I, Part A funds in 2009: \$20M went to LEA 1, \$10M to LEA 2, and \$10M to LEA 3.

Below is the table showing how much each LEA is subgranted.

Participating LEAs	2009 Title I allocation	2009 Title I share	Section 14006(c) subgrant
LEA 1	\$20,000,000	50 percent	\$50,000,000
LEA 2	\$10,000,000	25 percent	\$25,000,000
LEA 3	\$10,000,000	25 percent	\$25,000,000
TOTAL	\$40,000,000		



# Can States Limit How an LEA Uses its Race to the Top Funds?

- LEAs must use their funding in a manner that is consistent with the State's plan and with the MOU between the LEA and the State.
- States may establish more detailed rules on uses of funds provided they are consistent with the ARRA.
- Note that, although section 14006(c) subgrants are based on relative shares of funding received through Title I, Part A, the LEAs' uses of Race to the Top funds are not subject to the restrictions on uses of funds that apply to Title I formula funds.

# Criterion (A)(1) & MOUs

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# Memorandum of Understanding

- Terms and Conditions
- Scope of Work
- Signature Block

# Terms and Conditions

Participating LEAs sign a standard set of terms and conditions that includes, at a minimum:

- Key roles and responsibilities of the State and the LEA
- State recourse for LEA non-performance
- Assurances including, for example, that the LEA:
  - Is familiar with, and committed to, the State's Race to the Top grant application
  - Will implement all or significant portions of the State's plan, as indicated in the Preliminary Scope of Work
  - Will provide a Final Scope of Work within 90 days of a grant being awarded, in a manner that is consistent with the Preliminary Scope of Work and with the State's plan

# Model Memorandum of Understanding

(In Appendix D)

## Participating LEA Memorandum of Understanding

This Memorandum of Understanding (“MOU”) is entered into by and between \_\_\_\_\_ (“State”) and \_\_\_\_\_ (“Participating LEA”). The purpose of this agreement is to establish a framework of collaboration, as well as articulate specific roles and responsibilities in support of the State in its implementation of an approved Race to the Top grant project.

### SCOPE OF WORK

Exhibit I, the Preliminary Scope of Work, indicates which portions of the State’s proposed reform plans (“State Plan”) the Participating LEA is agreeing to implement. (Note that, in order to participate, the LEA must agree to implement all or significant portions of the State Plan.)

### PROJECT ADMINISTRATION

#### A. PARTICIPATING LEA RESPONSIBILITIES

In assisting the State in implementing the tasks and activities described in the State’s Race to the Top application, the Participating LEA subgrantee will:

- 1) Implement the LEA plan as identified in Exhibits I and II of this agreement;
- 2) Actively participate in all relevant convenings, communities of practice, or other practice-sharing events that are organized or sponsored by the State or by the U.S. Department of Education (“ED”);

. . . (continued) . . .

# Scope of Work

- **Preliminary Scope of Work:**
  - LEA indication of the **portions of a State's plan that the LEA is committed to** implementing
- **Final Scope of Work:**
  - Detailed plan developed by LEA within 90 days of the State being awarded a Race to the Top grant, and that is consistent with the LEA's Preliminary Scope of Work and with the State's grant application
  - Must include, at a minimum, the participating LEA's goals, activities, timelines, budgets, key personnel, and annual targets for key performance measures

# Preliminary Scope of Work from Model MOU

LEA hereby agrees to participate in implementing the State's plan in each of the areas identified below.

Elements of State Reform Plans	LEA Participation (Y/N)	Comments from LEA (optional)
<b>B. Standards and Assessments</b>		
(B)(3) Supporting the transition to enhanced standards and high-quality assessments		
<b>C. Data Systems to Support Instruction</b>		
(C)(3) Using data to improve instruction:		
(i) Use of local instructional improvement systems		
(ii) Professional development on use of data		
(iii) Availability and accessibility of data to researchers		
<b>D. Great Teachers and Leaders</b>		
(D)(2) Improving teacher and principal effectiveness based on performance:		
(i) Measure student growth		
(ii) Design and implement evaluation systems		
(iii) Conduct annual evaluations		
(iv)(a) Use evaluations to inform professional development		
(iv)(b) Use evaluations to inform compensation, promotion, and retention		
(iv)(c) Use evaluations to inform tenure and/or full certification		
(iv)(d) Use evaluations to inform removal		
(D)(3) Ensuring equitable distribution of effective teachers and principals:		
(i) High-poverty and/or high-minority schools		
(ii) Hard-to-staff subjects and specialty areas		
(D)(5) Providing effective support to teachers and principals:		
(i) Quality professional development		
(ii) Measure effectiveness of professional development		
<b>E. Turning Around the Lowest-Achieving Schools</b>		
(E)(2) Turning around the lowest-achieving schools		

# Scope of Work

- **Preliminary Scope of Work:**
  - LEA indication of the portions of a State's plan that the LEA is committed to implementing
- **Final Scope of Work:**
  - **Detailed plan** developed by LEA **within 90 days** of the State being awarded a Race to the Top grant, and that is consistent with the LEA's Preliminary Scope of Work and with the State's grant application
  - Must include, at a minimum, the participating LEA's **goals, activities, timelines, budgets, key personnel, and annual targets** for key performance measures



# Signature Block

- The MOU with participating LEAs includes as many as possible of these signatories – the more signatures the “stronger” the leadership support:
  - LEA superintendent (or equivalent)
  - President of the local school board (or equivalent, if applicable)
  - Local teachers’ union leader (if applicable)
- One signature must, of course, be from an authorized LEA representative
- A counter-signature from the State indicates the State’s acceptance of the LEA’s participation

# Signature Block from Model MOU

## VI. SIGNATURES

**LEA Superintendent** (or equivalent authorized signatory)- required:

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Signature/Date

---

Print Name/Title

**President of Local School Board** (or equivalent, if applicable):

---

Signature/Date

---

Print Name/Title

**Local Teachers' Union Leader** (if applicable):

---

Signature/Date

---

Print Name/Title

**Authorized State Official**- required:

By its signature below, the State hereby accepts the LEA as a Participating LEA.

---

Signature/Date

---

Print Name/Title

Break

# Criterion (A)(1) – Putting it All Together

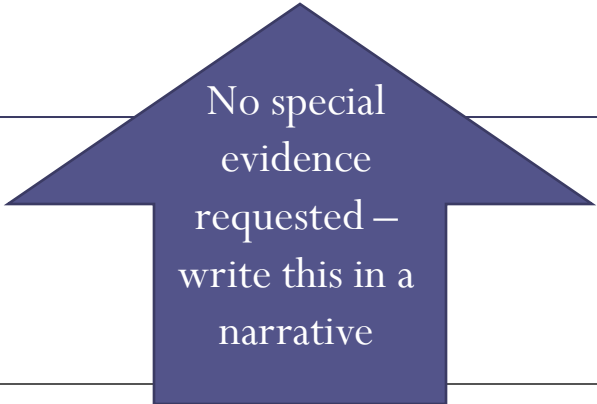
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# (A)(1)(i) Articulating State's education reform agenda and LEAs' participation in it

(65 pts)

The extent to which—

(i) The State has set forth a **comprehensive and coherent reform agenda** that clearly articulates its **goals** for implementing reforms in the four education areas described in the ARRA and improving student outcomes statewide, establishes a clear and credible **path to achieving these goals**, and is consistent with the specific reform plans that the State has proposed throughout its application; (5 points)



No special  
evidence  
requested –  
write this in a  
narrative

# (A)(1)(ii) Articulating State's education reform agenda and LEAs' participation in it

(65 pts)

(ii) The **participating LEAs** (as defined in this notice) are **strongly committed** to the State's plans and to effective implementation of reform in the four education areas, as evidenced by **Memoranda of Understanding (MOUs)** (as set forth in Appendix D) or other binding agreements between the State and its participating LEAs (as defined in this notice) that include— (45 points)

- (a) **Terms and conditions** that reflect strong commitment by the participating LEAs (as defined in this notice) to the State's plans;
- (b) **Scope-of-work descriptions** that require participating LEAs (as defined in this notice) to implement all or significant portions of the State's Race to the Top plans; and
- (c) **Signatures** from as many as possible of the LEA superintendent (or equivalent), the president of the local school board (or equivalent, if applicable), and the local teachers' union leader (if applicable) (one signature of which must be from an authorized LEA representative) demonstrating the extent of leadership support within participating LEAs (as defined in this notice);

## (A)(1)(ii) Evidence

Evidence for (A)(1)(ii):

- An example of the State's **standard Participating LEA MOU**, and **description of variations** used, if any.
- The completed summary table indicating which specific **portions of the State's plan each LEA is committed to implementing**, and relevant summary statistics.
- The completed summary table indicating which **LEA leadership signatures** have been obtained.

Evidence for (A)(1)(ii) and (A)(1)(iii):

- The completed **detailed table**, by LEA, that includes the information requested in the criterion

(See application p. 19)

# (A)(1) Detailed Table

## Detailed Table for (A)(1)

This table provides detailed information on the participation of each participating LEA (as defined in this notice). States should use this table to complete the Summary Tables above. (Note: If the State has a large number of participating LEAs (as defined in this notice), it may move this table to an appendix. States should provide in their narrative a clear reference to the appendix that contains the table.)

	LEA Demographics	Signatures on MOUs			MOU Terms	Preliminary Scope of Work– Participation in each applicable Plan Criterion																	
Participating LEAs	# of Schools	# of K-12 Students	# of K-12 Students in Poverty	LEA Suprt. (or equivalent)	President of local school board (if applicable)	President of Teachers Union (if applicable)	Uses Standard Terms & Conditions?	(B)(3)	(C)(3)(i)	(C)(3)(ii)	(C)(3)(iii)	(D)(2)(i)	(D)(2)(ii)	(D)(2)(iii)	(D)(2)(iv)(a)	(D)(2)(iv)(b)	(D)(2)(iv)(c)	(D)(2)(iv)(d)	(D)(3)(i)	(D)(3)(ii)	(D)(5)(i)	(D)(5)(ii)	(E)(2)
Name of LEA here				Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Yes/ No	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA

You might want to add two rows to your table: a “totals” row and a “percentage of total participating LEAs” row

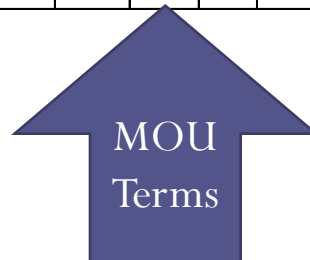


# (A)(1) Detailed Table

## Detailed Table for (A)(1)

This table provides detailed information on the participation of each participating LEA (as defined in this notice). States should use this table to complete the Summary Tables above. (Note: If the State has a large number of participating LEAs (as defined in this notice), it may move this table to an appendix. States should provide in their narrative a clear reference to the appendix that contains the table.)

	LEA Demographics	Signatures on MOUs			MOU Terms	Preliminary Scope of Work– Participation in each applicable Plan Criterion																	
Participating LEAs	# of Schools	# of K-12 Students	# of K-12 Students in Poverty	LEA Supr. (or equivalent)	President of local school board (if applicable)	President of Teachers Union (if applicable)	Uses Standard Terms & Conditions?	(B)(3)	(C)(3)(i)	(C)(3)(ii)	(C)(3)(iii)	(D)(2)(i)	(D)(2)(ii)	(D)(2)(iii)	(D)(2)(iv)(a)	(D)(2)(iv)(b)	(D)(2)(iv)(c)	(D)(2)(iv)(d)	(D)(3)(i)	(D)(3)(ii)	(D)(5)(i)	(D)(5)(ii)	(E)(2)
Name of LEA here				Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Yes/ No	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA



For any participating LEA that does not use the “standard” terms and conditions, you must describe the variations.

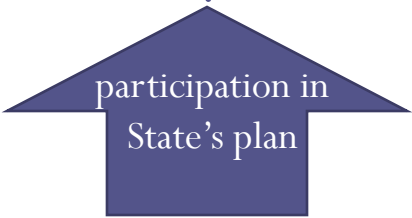
# (A)(1) Detailed Table

## Detailed Table for (A)(1)

This table provides detailed information on the participation of each participating LEA (as defined in this notice). States should use this table to complete the Summary Tables above.  
(Note: If the State has a large number of participating LEAs (as defined in this notice), it may move this table to an appendix. States should provide in their narrative a clear reference to the appendix that contains the table.)

Participating LEAs	LEA Demographics			Signatures on MOU s	MOU Terms	Preliminary Scope of Work – Participation in each applicable Plan Criterion																	
	# of Schools	# of K - 12 Students	# of K - 12 Students in Poverty			IEA/Spice (equity)	Technical assistance (equity)	Technical assistance (equity)	Uses Standards & Conditions ?	(B)	(C)	(C)	(C)	(D)	(D)	(D)	(D)	(D)	(D)	(D)	(D)	(D)	(D)
Name of LEA here				Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Yes No	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA

Transfer the total participation (numbers and percentages) to the Scope of Work Summary Table...



# (A)(1)(ii)(b) Scope of Work Summary Table

Elements of State Reform Plans	Number of LEAs Participating (#)	Percentage of Total Participating LEAs (%)
<b>B. Standards and Assessments</b>		
(B)(3) Supporting the transition to enhanced standards and high-quality assessments		
<b>C. Data Systems to Support Instruction</b>		
(C)(3) Using data to improve instruction:		
(i) Use of local instructional improvement systems		
(ii) Professional development on use of data		
(iii) Availability and accessibility of data to researchers		
<b>D. Great Teachers and Leaders</b>		
(D)(2) Improving teacher and principal effectiveness based on performance:		
(i) Measure student growth		
(ii) Design and implement evaluation systems		
(iii) Conduct annual evaluations		
(iv)(a) Use evaluations to inform professional development		
(iv)(b) Use evaluations to inform compensation, promotion and retention		
(iv)(c) Use evaluations to inform tenure and/or full certification		
(iv)(d) Use evaluations to inform removal		
(D)(3) Ensuring equitable distribution of effective teachers and principals:		
(i) High-poverty and/or high-minority schools		
(ii) Hard-to-staff subjects and specialty areas		
(D)(5) Providing effective support to teachers and principals:		
(i) Quality professional development		
(ii) Measure effectiveness of professional development		
<b>E. Turning Around the Lowest-Achieving Schools</b>		
(E)(2) Turning around the lowest-achieving schools		

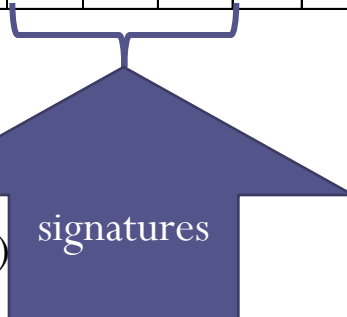
Fill in totals  
and  
percentages  
on this  
Summary  
Table

# (A)(1) Detailed Table

## Detailed Table for (A)(1)

This table provides detailed information on the participation of each participating LEA (as defined in this notice). States should use this table to complete the Summary Tables above. (Note: If the State has a large number of participating LEAs (as defined in this notice), it may move this table to an appendix. States should provide in their narrative a clear reference to the appendix that contains the table.)

Participating LEAs	LEA Demographics			Signatures on MOUs			MOU Terms	Preliminary Scope of Work – Participation in each applicable Plan Criterion														
	# of Schools	# of K-12 Students	# of K-12 Students in Poverty	LEA Supp (or equivalent)	President of school board (if applicable)	President of Local Teachers Union (if applicable)		(1)(2)	(2)(3)(4)	(3)(5)(6)	(4)(5)(6)	(5)(6)(7)	(6)(7)(8)	(7)(8)(9)	(8)(9)(10)	(9)(10)(11)	(10)(11)(12)	(11)(12)(13)	(12)(13)(14)	(13)(14)(15)	(14)(15)(16)	(15)(16)(17)
Name of LEA here				Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA	Y/ N/ NA



Transfer the signatures (numbers and percentages) to the Signatures Summary Table...

# (A)(1)(ii)(c) Signature Summary Table

## Summary Table for (A)(1)(i i)(c)

Signatures acquired from participating LEAs:			
Number of Participating LEAs with all applicable signatures			
	Number of Signatures Obtained (#)	Number of Signatures Applicable (#)	Percentage (%) (Obtained / Applicable)
LEA Superintendent (or equivalent)			
President of Local School Board (or equivalent, if applicable)			
Local Teachers' Union Leader (if applicable)			



Fill in totals  
and  
percentages  
on this  
Summary  
Table

# (A)(1)(iii) Articulating State's education reform agenda and LEAs' participation in it

(65 pts)

The extent to which --

(iii) The **LEAs that are participating** in the State's Race to the Top plans (including considerations of the numbers and percentages of participating LEAs, schools, K-12 students, and students in poverty) **will translate into broad statewide impact**, allowing the State to reach its ambitious yet achievable goals, overall and by student subgroup, for—(15 points)

- (a) **Increasing student achievement** in (at a minimum) reading/language arts and mathematics, as reported by the NAEP and the assessments required under the ESEA;
- (b) **Decreasing achievement gaps** between subgroups in reading/language arts and mathematics, as reported by the NAEP and the assessments required under the ESEA;
- (c) **Increasing high school graduation rates** (as defined in this notice); and
- (d) **Increasing college enrollment** (as defined in this notice) and **increasing the number of students who complete at least a year's worth of college** credit that is applicable to a degree within two years of enrollment in an institution of higher education.

Write narrative but  
pay attention to  
required evidence

## (A)(1)(iii) Evidence

Evidence for (A)(1)(iii):

- The completed summary table indicating the **numbers and percentages of participating LEAs, schools, K-12 students, and students in poverty**.
- Tables and graphs that show the State's goals, overall and by subgroup, requested in the criterion, together with the supporting narrative. In addition, describe what the goals would look like were the State not to receive an award under this program.

Evidence for (A)(1)(ii) and (A)(1)(iii):

- The completed **detailed table**, by LEA, that includes the information requested in the criterion

# (A)(1) Detailed Table

## Detailed Table for (A)(1)

This table provides detailed information on the participation of each participating LEA (as defined in this notice). States should use this table to complete the Summary Tables above. (Note: If the State has a large number of participating LEAs (as defined in this notice), it may move this table to an appendix. States should provide in their narrative a clear reference to the appendix that contains the table.)

LEA Demographics	Signatures on MOUs	MOU Terms	Preliminary Scope of Work– Participation in each applicable Plan Criterion																						
			Uses Standard Terms & Conditions?	President of Local Teachers Union (if applicable)	President of local school board (if applicable)	LEA Supr. (or equivalent)	# of K-12 Students in Poverty	# of K-12 Students	# of Schools	(E)(2)	(D)(5)(i)	(D)(5)(i)	(D)(3)(ii)	(D)(3)(i)	(D)(2)(iv)(d)	(D)(2)(iv)(c)	(D)(2)(iv)(b)	(D)(2)(iv)(a)	(D)(2)(iii)	(D)(2)(ii)	(D)(2)(i)	(C)(3)(iii)	(C)(3)(ii)	(C)(3)(i)	(B)(3)
Participating LEAs																									
Name of LEA here																									



Transfer the demographics (numbers and percentages) to the Participating LEA Summary Table...

(See application p. 22)



# (A)(1)(iii) LEA Summary Table

Summary Table for (A)(1)(iii)

	Participating LEAs (#)	Statewide (#)	Percentage of Total Statewide (%) (Participating LEAs / Statewide)
LEAs			
Schools			
K-12 Students			
Students in poverty			

Fill in totals  
and  
percentages  
on this  
Summary  
Table

## (A)(1)(iii) Evidence

Evidence for (A)(1)(iii):

- The completed summary table indicating the numbers and percentages of participating LEAs, schools, K-12 students, and students in poverty.
- **Tables and graphs that show the State's goals, overall and by subgroup**, requested in the criterion, together with the supporting narrative. In addition, describe what the goals would look like were the State not to receive an award under this program.

Evidence for (A)(1)(ii) and (A)(1)(iii):

- The completed detailed table, by LEA, that includes the information requested in the criterion

# Criterion (A)(2)

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## (A)(2)(i) Building strong statewide capacity to implement, scale up, and sustain proposed plans (30 pts)

The extent to which the State has a high-quality overall plan to—

- (i) Ensure that it has the **capacity** required to implement its proposed plans by— (20 points)
  - (a) Providing strong **leadership** and dedicated **teams** to implement the statewide education reform plans the State has proposed;
  - (b) **Supporting participating LEAs** (as defined in this notice) in successfully implementing the education reform plans the State has proposed, through such activities as identifying promising practices, evaluating these practices' effectiveness, ceasing ineffective practices, widely disseminating and replicating the effective practices statewide, holding participating LEAs (as defined in this notice) accountable for progress and performance, and intervening where necessary;
  - (c) Providing **effective and efficient operations and processes** for implementing its Race to the Top grant in such areas as grant administration and oversight, budget reporting and monitoring, performance measure tracking and reporting, and fund disbursement;
  - (d) **Using the funds** for this grant, as described in the State's budget and **accompanying budget** narrative, to accomplish the State's plans and meet its targets, including where feasible, by coordinating, reallocating, or repurposing education funds from other Federal, State, and local sources so that they align with the State's Race to the Top goals; and
  - (e) Using the fiscal, political, and human capital resources of the State to **continue, after the period of funding has ended**, those reforms funded under the grant for which there is evidence of success;

## (A)(2)(ii) Building strong statewide capacity to implement, scale up, and sustain proposed plans (30 pts)

- (ii) Use support from a broad group of **stakeholders** to better implement its plans, as evidenced by the strength of the statements or actions of support from— (10 points)
- (a) The State's **teachers and principals**, which include the State's teachers' **unions** or statewide teacher associations; and
  - (b) **Other critical stakeholders**, such as the State's legislative leadership; charter school authorizers and State charter school membership associations (if applicable); other State and local leaders (*e.g.*, business, community, civil rights, and education association leaders); Tribal schools; parent, student, and community organizations (*e.g.*, parent-teacher associations, nonprofit organizations, local education foundations, and community-based organizations); and institutions of higher education.

## (A)(2) Evidence

Evidence for (A)(2)(i)(d):

- The State's **budget**, as completed in Section VIII of the application. The narrative that accompanies and explains the budget and how it connects to the State's plan, as completed in Section VIII of the application.

Evidence for (A)(2)(ii):

- A summary in the narrative of the **statements or actions of support** and inclusion of key statements or actions of support in the Appendix.

# Budget

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# Budget Amounts

- States are encouraged to develop budgets that match the needs they have outlined in their applications.
- To support States in planning their budgets, the Department has developed nonbinding budget ranges for each State. These ranges may be used as rough blueprints to guide States as they think through their budgets. States may prepare budgets that are above or below the ranges specified.

Category 1 – \$350-700 M	CA, TX, NY, FL
Category 2 – \$200-400 M	IL, PA, OH, GA, MI, NC, NJ
Category 3 – \$150-250 M	VA, AZ, IN, WA, TN, MA, MO, MD, WI
Category 4 – \$60-175 M	MN, CO, AL, LA, SC, PR, KY, OK, OR, CT, UT, MS, IA, AR, KS, NV
Category 5 – \$20-75 M	NM, NE, ID, WV, NH, ME, HI, RI, MT, DE, SD, AK, ND, VT, WY, DC

- The Department will determine each grantee's award size based on a detailed review of the requested budget, considering such factors as the size of the State, level of LEA participation, and the proposed activities.



# The Parts of the Budget

## 1. Budget Summary

4

**a. Table:** Total proposed budget, by category.

1

**b. Narrative:** Overview of how the budget has been organized into projects.

## 2. Project-Level Detail:

2

**a. Table:** Budget for each project, by category.

3

**b. Narrative:** Backup detail for each category in each project budget.

# Budget Summary Narrative

Each State should:

- Ensure that the budget narrative has sufficient scope and detail for the Department to determine if the costs are necessary, reasonable, and allowable.
  - For further guidance on Federal cost principles, an applicant may wish to consult OMB Circular A-87. (See [www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)).
- Explain, in the Budget Summary Narrative, how other Federal, State, and local funds will be leveraged to further support Race to the Top education reform plans.
  - Other Federal funds to consider: School Improvement Grants, Statewide Longitudinal Data Systems grants, Teacher Incentive Fund grants, and Title I.
- Describe, in the Budget Summary Narrative, the overall structure of, and rationale for, the State's proposed Race to the Top budget, including:
  - The list of projects that have project-level budgets.
  - Why this project organization makes sense and how the projects will be organized and managed.

# How Projects Fit into the Budget

- States design these “projects” in whatever ways best match their proposal/needs. Examples:
  - A State might choose to have one “management project” focused on criterion (A)(2), Building Strong Statewide Capacity.
  - A State might have another “human capital project” that addresses criteria (D)(2) through (D)(5) in the Great Teachers and Leaders section.
- For each project the State has proposed in its Budget Summary Narrative, the State must submit a Project-level Budget Table and accompanying Project-level Budget Narrative.

# Project-Level Budget Table

for each budget category,  
include detailed backup  
information in the  
accompanying narrative

<b>Budget Part II: Project-Level Budget Table</b>					
<b>Project Name:</b> [fill in the project name the State has assigned to this work]					
<b>Associated with Criteria:</b> [fill in the designations of the criteria associated with this project]					
<b>(Evidence for selection criterion (A)(2)(i)(d))</b>					
<b>Budget Categories</b>	<b>Project Year 1 (a)</b>	<b>Project Year 2 (b)</b>	<b>Project Year 3 (c)</b>	<b>Project Year 4 (d)</b>	<b>Total (e)</b>
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1-8)					
10. Indirect Costs*					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9-12)					

All applicants must provide a break-down by the applicable budget categories shown in lines 1-15.  
Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.  
Column (e): Show the total amount requested for all project years.  
\*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section.  
Note that indirect costs are not allocated to lines 11-12.

provide the budget for the project –  
by budget category and for each  
year of the grant

# Project-Level Budget Narrative – Examples

- Personnel – Line 1

Personnel: The following requested personnel will all be hired as employees of the project.	% FTE	Base Salary	Total
Project Director (1): Jane Doe will be responsible for the overall leadership and management of the Performance-Based Teacher and Principal Compensation Program. She is an expert in this area and has worked on this issue for six years. She will report to the Race to the Top project director and be responsible for negotiating details related to the performance-based programs proposed in the plan associated with (D)(2). Her qualifications are described in detail in the project management plan on page A-24 of the Appendix.	80%	\$65,000	\$52,000

- Travel – Line 3

Travel: Travel expenses include the average mile reimbursements of \$100 each, in addition to an amount of per diem of \$50.	# Trips	\$ per Trip	Total
A kick-off conference will provide technical assistance to our participating 325 districts. The conference will last two full days. A more detailed justification for this trip is explained in the narrative for selection criterion (A)(2).	325x3 people (1 Project Dir. & 3 staff per district.)	\$200	\$195,000

# Project-Level Budget Narrative

## Involved LEAs – Line 11

- Example of Funding for Involved LEAs

Activity	Purpose	Cost	# LEAs involved	Total
Stipends for teachers to participate in statewide professional development during summer 2011	Implementing new standards	\$100 per teacher x 2,500 teachers (across all involved LEAs)	250	\$250,000

- Involved LEAs are LEAs that are not participating in the full State Race to the Top grant, but that will work with the State to implement those specific portions of the State's plan that necessitate full or nearly-full statewide implementation, such as transitioning to a common set of K-12 standards.
- Involved LEAs may be signed up by the State at any time and by any method that the State chooses. States do not need to submit information on their involved LEAs as part of their applications, and States will not be evaluated based on their involved LEAs.
- Because involved LEAs are not eligible to receive section 14006(c) subgrants, States may choose to provide other funding to involved LEAs (as specified on budget line 11).

# Project-Level Budget Narrative

## Supplemental Funding for Participating LEAs – Line 12

- There are two reasons that a State may choose to supplement a participating LEA's budget with more than its Section 14006(c) share:
  1. One or more participating LEAs may be implementing a special/pilot activity that requires additional funding.
  2. A participating LEA might have a low Section 14006(c) share that the State chooses to supplement given the plans in which the LEA is participating.
- Each of these must be described in the project-level budget narrative.

# Project-Level Budget Narrative

## Supplemental Funding for Participating LEAs – Line 12

- Example 1: Special Activity

Activity	Purpose	Cost	Approx. # of LEAs	Total
Pay-for-performance pilot program	Fund the performance bonuses for 200 teachers	\$5,000 per teacher x 100 teachers/LEA x 3 years	2	\$3,000,000

- Example 2: Enhanced Share

LEA	Rationale	Supplemental Subgrant Cost	Total
ABC District	Based on its Title I share, this LEA would receive \$X of the State's Race to the Top grant; this subgrant from the State's 50% increases the LEA's funding to allow it to fully participate in all State plans	\$100,000/year x 4 years	\$400,000



# Budget Summary Table

Budget Part I: Summary Budget Table (Evidence for selection criterion (A)(2)(i)(d))					
Budget Categories	Project Year 1	Project Year 2	Project Year 3	Project Year 4	Total
1. Personnel					
2. Fringe Benefits					
3. Travel					
4. Equipment					
5. Supplies					
6. Contractual					
7. Training Stipends					
8. Other					
9. Total Direct Costs (lines 1 -8)					
10. Indirect Costs*					
11. Funding for Involved LEAs					
12. Supplemental Funding for Participating LEAs					
13. Total Costs (lines 9 -12)					
14. Funding Subgranted to Participating LEAs (50% of Total Grant)					
15. Total Budget (lines 13 -14)					

Then total up each budget category across all project-level budgets, and transfer these figures to the Budget Summary Table.

Include the Section 14006(c) subgrant here

Total up each column to arrive at the full grant request

All applicants must provide a break down by the applicable budget categories shown in lines 1 -15.  
 Columns (a) through (d): For each project year for which funding is requested, show the total amount requested for each applicable budget category.  
 Column (e): Show the total amount requested for all project years.  
 \*If you plan to request reimbursement for indirect costs, complete the Indirect Cost Information form at the end of this Budget section. Note that indirect costs are not allocated to lines 11 -12.

(See application p. 56)

# A Note on Budgets for Participating LEAs

- States are not required to provide budgets describing how participating LEAs would use their section 14006(c) funds (see line 14 of the Budget Summary Table).
- However, the Department expects that States will monitor and track all expenditures to ensure that participating LEAs spend these funds in accordance with the State's plan and the scope of work described in the agreement between the State and the participating LEA.

# Criterion (A)(3)

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## (A)(3) Demonstrating significant progress in raising achievement and closing gaps *(30 pts)*

The extent to which the State has demonstrated its ability to—

- (i) **Make progress** over the past several years in each of the four education reform areas, and used its ARRA and other Federal and State funding to pursue such reforms; *(5 points)*
- (ii) **Improve student outcomes** overall and by student subgroup since at least 2003, and explain the connections between the data and the actions that have contributed to — *(25 points)*
  - (a) Increasing student achievement in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA;
  - (b) Decreasing achievement gaps between subgroups in reading/language arts and mathematics, both on the NAEP and on the assessments required under the ESEA; and
  - (c) Increasing high school graduation rates.

## (A)(3) Evidence

Evidence for (A)(3)(ii):

- **NAEP and ESEA results since at least 2003:**
  - Include in the Appendix **all the data requested** in the criterion as a resource for peer reviewers for each year in which a test was given or data was collected. Note that this data will be used for reference only and can be **in raw format**.
  - In the narrative, provide the **analysis of this data** and any tables or graphs that best support the narrative.

# A Word about Application Requirement (g)

- For student **subgroups with respect to the NAEP**, include:
  - Race, ethnicity, socioeconomic status, gender, disability, and limited English proficiency
  - Exclusion rate for students with disabilities (SWDs)
  - Exclusion rate for English language learners (ELLs)
  - Documentation of the State's policies and practices for determining whether SWDs or ELLs should participate in the NAEP and whether the student needs accommodations
- For student **subgroups with respect to high school graduation rates, college enrollment and college credit accumulation rates, and the assessments required under the ESEA**, include:
  - Economically disadvantaged students, students from major racial and ethnic groups, students with disabilities, and students with limited English proficiency
- For the **assessments required under the ESEA**:
  - Refer to section 1111(b)(3) of the ESEA
  - Note any factors (*e.g.*, changes in cut scores) that would impact the comparability of data from one year to the next

# Break for Lunch

## B. Standards and Assessments



## B. Standards and Assessments

### *State Reform Conditions Criteria*

- (B)(1) Developing and adopting common standards
- (B)(2) Developing and implementing common, high-quality assessments

### *Reform Plan Criteria*

- (B)(3) Supporting the transition to enhanced standards and high-quality assessments

### **Purposes:**

- Encourage the adoption of common standards and assessments
- Support the transition to college and career ready standards and assessments

# Criterion (B)(1)

---

## (B)(1)(i) Developing and adopting common standards *(40 pts)*

The extent to which the State has demonstrated its commitment to **adopting a common set of high-quality standards**, evidenced by (as set forth in Appendix B)—

(i) The State's **participation in a consortium** of States that— *(20 points)*

- (a) Is working toward jointly developing and adopting a **common set of K-12 standards** (as defined in this notice) that are supported by evidence that they are **internationally benchmarked and build toward college and career readiness** by the time of high school graduation; and
- (b) Includes a **significant number of States**; and

# (B)(1)(i) Reviewer Guidance

(In Appendix B)

Reviewer Guidance Specific to (B)(1)(i)(b) – **Significant**

**Number of States:**

- **“High” points** for a significant number of States are earned if the consortium includes a majority of the States in the country.
- **“Medium” or “low” points** are earned if the consortium includes one-half of the States in the country or less.

## (B)(1)(i) Evidence

Evidence for (B)(1)(i):

- A copy of the Memorandum of Agreement, executed by the State, showing that it is **part of a standards consortium**.
- A **copy of the final standards** or, if the standards are not yet final, a copy of the draft standards and anticipated date for completing the standards.
- Documentation that the standards are or will be **internationally benchmarked** and that, when well-implemented, will help to ensure that students are **prepared for college and careers**.
- The **number of States** participating in the standards consortium and the list of these States.

## (B)(1)(ii) Developing and adopting common standards *(40 pts)*

(ii) — *(20 points)*

- (a) For Phase 1 applications, the State's high-quality plan demonstrating its **commitment to and progress toward adopting** a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State, and to implementing the standards thereafter in a well-planned way; or
- (b) For Phase 2 applications, the State's **adoption** of a common set of K-12 standards (as defined in this notice) by August 2, 2010, or, at a minimum, by a later date in 2010 specified by the State in a high-quality plan toward which the State has made significant progress, and its commitment to implementing the standards thereafter in a well-planned way\*.

\*Phase 2 applicants addressing selection criterion (B)(1)(ii) may amend their June 1, 2010 application submission through August 2, 2010 by submitting evidence of adopting common standards after June 1, 2010.

# (B)(1)(ii) Reviewer Guidance

(In Appendix B)

## Reviewer Guidance Specific to (B)(1)(ii) – **Adoption**:

- **“High” points** are earned for: Phase 1 applicants’ commitment to and progress toward adoption by August 2, 2010; and Phase 2 applicants’ adoption by August 2, 2010.
- **No “Medium” points** are assigned for this criterion.
- **“Low” points** are earned for a high-quality plan to adopt by a specified date later in 2010.
- **No points** are earned for a plan that is not high-quality or for a plan to adopt later than 2010.

## (B)(1)(ii) Evidence

Evidence for (B)(1)(ii):

For Phase 1 applicants:

- A description of the **legal process in the State for adopting standards, and the State's plan, current progress, and timeframe for adoption.**

For Phase 2 applicants:

- **Evidence that the State has adopted the standards.** Or, if the State has not yet adopted the standards, a description of the legal process in the State for adopting standards and the State's plan, current progress, and timeframe for adoption.



# Criterion (B)(2)

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## (B)(2) Developing and implementing common, high-quality assessments *(10 pts)*

The extent to which the State has demonstrated its commitment to **improving the quality of its assessments**, evidenced by (as set forth in Appendix B) the State's participation in a consortium of States that—

- (i) Is working toward jointly developing and implementing common, high-quality assessments (as defined in this notice) aligned with the consortium's common set of K-12 standards (as defined in this notice); and
- (ii) Includes a significant number of States.

# (B)(2) Reviewer Guidance

(In Appendix B)

## Reviewer Guidance Specific to (B)(2)(ii) – Significant Number of States:

- “High” points for a significant number of States are earned if the consortium includes a majority of the States in the country.
- “Medium” or “low” points are earned if the consortium includes one-half of the States in the country or less.

## (B)(2) Evidence

Evidence for (B)(2):

- A copy of the Memorandum of Agreement, executed by the State, showing that it is part of a consortium that intends to develop high-quality assessments (as defined in this notice) aligned with the consortium's common set of K-12 standards; or documentation that the State's consortium has applied, or intends to apply, for a grant through the separate Race to the Top Assessment Program (to be described in a subsequent notice); or other evidence of the State's plan to develop and adopt common, high-quality assessments (as defined in this notice).
- The number of States participating in the assessment consortium and the list of these States.

# Statewide Summative Assessment

- No funds awarded under the Race to the Top competition may be used to pay for costs related to statewide summative assessments (*e.g.*, the State assessments required under the ESEA).
- Does not refer to exams designed and used at the local or classroom levels, such as interim assessments, unit or lesson tests, quizzes, final exams, etc.
- The Department intends to fund the creation of common statewide summative assessments tied to common sets of K-12 standards through a separate Race to the Top Assessment competition.

# Criterion (B)(3)

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## (B)(3) Supporting the transition to enhanced standards and high-quality assessments *(20 pts)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality **plan for supporting a statewide transition** to and implementation of internationally benchmarked K-12 standards that build toward college and career readiness by the time of high school graduation, and high-quality assessments (as defined in this notice) tied to these standards. State or LEA activities might, for example, include: developing a rollout plan for the standards together with all of their supporting components; in cooperation with the State's institutions of higher education, aligning high school exit criteria and college entrance requirements with the new standards and assessments; developing or acquiring, disseminating, and implementing high-quality instructional materials and assessments (including, for example, formative and interim assessments (both as defined in this notice)); developing or acquiring and delivering high-quality professional development to support the transition to new standards and assessments; and engaging in other strategies that translate the standards and information from assessments into classroom practice for all students, including high-need students (as defined in this notice).

“Such as”  
list

## (B)(3) Performance Measures - Optional

<b>Performance Measures</b> Performance measures for this criterion are optional. If the State wishes to include performance measures, please enter them as rows in this table and, for each measure, provide annual targets in the columns provided.	Actual Data: Baseline (Current school year or most recent)	End of SY 2010- 2011	End of SY 2011- 2012	End of SY 2012- 2013	End of SY 2013- 2014
(Enter measures here, if any.)					

Sometimes  
performance  
measures are  
optional

Performance measures have been requested only where the Department intends to report nationally on them. In other cases, performance measures are optional, but may be included in support of the State's plan.



## C. Data Systems to Support Instruction

## C. Data Systems to Support Instruction

### *State Reform Conditions Criteria*

(C)(1) Fully implementing a statewide longitudinal data system

### *Reform Plan Criteria*

(C)(2) Accessing and using State data

(C)(3) Using data to improve instruction

### **Purposes:**

- Build out a full statewide longitudinal data system
- Access and use this data to inform decisions
- Provide dynamic data at the local level to improve instruction

# Criterion (C)(1)

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# (C)(1) Fully implementing a statewide longitudinal data system

(24 points – 2 points per America COMPETES element)

The extent to which the State has a **statewide longitudinal data system** that includes all of the America COMPETES Act elements (as defined in this notice).

*In the text box below, the State shall describe which elements of the America COMPETES Act (as defined in this notice) are currently included in its statewide longitudinal data system.*

Evidence:

- **Documentation for each of the America COMPETES Act elements** (as defined in this notice) that is included in the State's statewide longitudinal data system.

# America COMPETES Act Elements

- (1) Unique statewide student identifier
- (2) Student-level enrollment, demographic, and program participation
- (3) Student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P–16 education programs
- (4) Capacity to communicate with higher education data systems
- (5) State data audit system
- (6) Student-level yearly test records
- (7) Information on students not tested by grade and subject
- (8) Teacher identifier system with the ability to match teachers to students
- (9) Student-level transcript information
- (10) Student-level college readiness test scores
- (11) Student transition to postsecondary education; need for remedial coursework
- (12) Other information to address alignment and preparation for postsecondary education

## Criterion (C)(2)

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## (C)(2) Accessing and using State data (5 pts)

The extent to which the State has a high-quality plan to ensure that **data from the State's statewide longitudinal data system are accessible** to, **and used** to inform and engage, as appropriate, key stakeholders (*e.g.*, parents, students, teachers, principals, LEA leaders, community members, unions, researchers, and policymakers); and that the data support decision-makers in the continuous improvement of efforts in such areas as policy, instruction, operations, management, resource allocation, and overall effectiveness.

# Criterion (C)(3)

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## (C)(3) Using data to improve instruction (18 pts)

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan to—

- (i) **Increase the acquisition, adoption, and use of local instructional improvement systems** (as defined in this notice) that provide teachers, principals, and administrators with the information and resources they need to inform and improve their instructional practices, decision-making, and overall effectiveness;
- (ii) Support participating LEAs (as defined in this notice) and schools that are using instructional improvement systems (as defined in this notice) in providing effective **professional development** to teachers, principals and administrators on **how to use these systems and the resulting data to support continuous instructional improvement**; and
- (iii) Make the data from instructional improvement systems (as defined in this notice), together with statewide longitudinal data system data, **available and accessible to researchers** so that they have detailed information with which to evaluate the effectiveness of instructional materials, strategies, and approaches for educating different types of students (*e.g.*, students with disabilities, English language learners, students whose achievement is well below or above grade level).

# 7<sup>th</sup> Inning Stretch

## D. Great Teachers and Leaders

## D. Great Teachers and Leaders

### *State Reform Conditions Criteria*

- (D)(1) Providing high-quality pathways for aspiring teachers and principals

### *Reform Plan Criteria*

- (D)(2) Improving teacher and principal effectiveness based on performance
- (D)(3) Ensuring equitable distribution of effective teachers and principals
- (D)(4) Improving the effectiveness of teacher and principal preparation programs
- (D)(5) Providing effective support to teachers and principals

### **Purposes:**

- Build high-quality evaluation systems; evaluate the effectiveness of teachers and principals based on multiple measures, with growth in student achievement as a significant factor
- Use this evaluation data to inform key personnel decisions, allocation decisions, and professional development
- Assess the quality of teacher and principal preparation programs; expand the effective programs

# Criterion (D)(1)

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## (D)(1) Providing high-quality pathways for aspiring teachers and principals *(21 pts)*

The extent to which the State has—

- (i) Legal, statutory, or regulatory provisions that **allow alternative routes to certification** (as defined in this notice) for teachers and principals, particularly routes that allow for providers in addition to institutions of higher education;
- (ii) Alternative routes to certification (as defined in this notice) that are in use; and
- (iii) A process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these areas of shortage.

# Definition: Alternative Routes to Certification

Pathways to certification that are authorized under the State's laws or regulations...and have the following characteristics:

- a) Can be provided by various types of qualified providers, including both institutions of higher education and other providers operating independently from institutions of higher education;
- b) Are selective in accepting candidates;
- c) Provide supervised, school-based experiences and ongoing support such as effective mentoring and coaching;
- d) Significantly limit the amount of coursework required or have options to test out of courses; and
- e) Upon completion, award the same level of certification that traditional preparation programs award upon completion.

# (D)(1)(i) Review Guidance

(In Appendix B)

## Reviewer Guidance Specific to (D)(1)(i):

- **“High” points** are earned by States that have alternative routes that (a) permit providers that operate independently of institutions of higher education (IHEs), and (b) include at least 4 of the 5 elements listed in the definition of alternative routes to certification (as defined in this notice).
- **“Medium” points** are earned by States that have alternative routes that (a) permit providers who operate independently of IHEs, and (b) include at least 2 of the 5 elements listed in the definition of alternative routes to certification (as defined in this notice).
- **“Low” points** are earned by States that have alternative routes that (a) do not permit providers who operate independently of IHEs, OR (b) include only 1 of the 5 elements listed in the definition of alternative routes to certification (as defined in this notice).



## (D)(1)(i) Evidence

Evidence for (D)(1)(i), regarding alternative routes to certification for both teachers and principals:

- A description of the **State's applicable laws**, statutes, regulations, or other relevant legal documents, including **information on the elements of the State's alternative routes** (as described in the alternative route to certification definition in this notice).

## (D)(1) Providing high-quality pathways for aspiring teachers and principals *(21 pts)*

The extent to which the State has—

- (i) Legal, statutory, or regulatory provisions that allow alternative routes to certification (as defined in this notice) for teachers and principals, particularly routes that allow for providers in addition to institutions of higher education;
- (ii) **Alternative routes** to certification (as defined in this notice) that are **in use**; and
- (iii) A process for monitoring, evaluating, and identifying areas of teacher and principal shortage and for preparing teachers and principals to fill these **areas of shortage**.

## (D)(1)(ii) Evidence

Evidence for (D)(1)(ii), regarding alternative routes to certification for both teachers and principals:

- A **list of the alternative certification programs** operating in the State under the State's alternative routes to certification (as defined in this notice), and for each:
  - The **elements of the program** (as described in the alternative routes to certification definition in this notice).
  - The **number of teachers and principals that successfully completed** each program in the previous academic year.
  - The **total number of teachers and principals certified statewide** in the previous academic year.

## Criterion (D)(2)

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## (D)(2)(i-ii) Improving teacher and principal effectiveness based on performance *(58 pts)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice)—

- (i) Establish clear approaches to **measuring student growth** (as defined in this notice) and measure it for each individual student; *(5 points)*
- (ii) Design and implement rigorous, transparent, and fair evaluation systems for teachers and principals that (a) differentiate effectiveness using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; *(15 points)*

# Excerpts of Relevant Definitions

- **Student growth** means the change in student achievement (as defined in this notice) for an individual student between two or more points in time.
- **Student achievement** means
  - (a) For tested grades and subjects: (1) a student's score on the State's assessments under the ESEA; and, as appropriate, (2) other measures of student learning;
  - (b) For non-tested grades and subjects: alternative measures of student learning and performance that are rigorous and comparable across classrooms.

## (D)(2)(i-ii) Improving teacher and principal effectiveness based on performance *(58 pts)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to ensure that participating LEAs (as defined in this notice)—

- (i) Establish clear approaches to measuring student growth (as defined in this notice) and measure it for each individual student; *(5 points)*
- (ii) **Design and implement rigorous, transparent, and fair evaluation systems** for teachers and principals that (a) **differentiate effectiveness** using multiple rating categories that take into account data on student growth (as defined in this notice) as a significant factor, and (b) are designed and developed with teacher and principal involvement; *(15 points)*

# Excerpts of Relevant Definitions

- **Student growth** means the change in student achievement for an individual student between two or more points in time.
- **Student achievement** means
  - (a) For tested grades and subjects: (1) a student's score on the State's assessments under the ESEA; and, as appropriate, (2) other measures of student learning;
  - (b) For non-tested grades and subjects: alternative measures of student learning and performance that are rigorous and comparable across classrooms.
- **Effective teacher [principal]** means a teacher whose students achieve acceptable rates (*e.g.*, at least one grade level in an academic year) of student growth...must include multiple measures, provided that teacher effectiveness is evaluated, in significant part, by student growth.
- **Highly effective teacher [principal]** means a teacher whose students achieve high rates (*e.g.*, at least one and one-half grade level in an academic year) of student growth... must include multiple measures, provided that teacher effectiveness is evaluated, in significant part, by student growth.



## (D)(2)(iii-iv) Improving teacher and principal effectiveness based on performance *(58 pts)*

- (iii) **Conduct annual evaluations** of teachers and principals that include timely and constructive feedback; as part of such evaluations, provide teachers and principals with data on student growth for their students, classes, and schools; *(10 points)* and
- (iv) **Use these evaluations**, at a minimum, **to inform decisions regarding**— *(28 points)*
  - (a) **Developing** teachers and principals, including by providing relevant coaching, induction support, and/or professional development;
  - (b) **Compensating, promoting, and retaining** teachers and principals, including by providing opportunities for highly effective teachers and principals (both as defined in this notice) to obtain additional compensation and be given additional responsibilities;
  - (c) Whether to **grant tenure and/or full certification** (where applicable) to teachers and principals using rigorous standards and streamlined, transparent, and fair procedures; and
  - (d) **Removing** ineffective tenured and untenured teachers and principals after they have had ample opportunities to improve, and ensuring that such decisions are made using rigorous standards and streamlined, transparent, and fair procedures.

# (D)(2) Performance Measures

## Goals: Baseline data and annual targets

<b>Performance Measures</b> Notes: Data should be reported in a manner consistent with the definitions contained in this application package in Section II. Qualifying evaluation systems are those that meet the criteria described in (D)(2)(ii).		Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
Criteria	General goals to be provided at time of application:	Baseline data and annual targets				
(D)(2)(i)	Percentage of participating LEAs that measure student growth (as defined in this notice).					
(D)(2)(ii)	Percentage of participating LEAs with qualifying evaluation systems for teachers.					
(D)(2)(ii)	Percentage of participating LEAs with qualifying evaluation systems for principals.					
(D)(2)(iv)	Percentage of participating LEAs with qualifying evaluation systems that are used to inform:					
(D)(2)(iv)(a)	<ul style="list-style-type: none"> <li>Developing teachers and principals.</li> </ul>					
(D)(2)(iv)(b)	<ul style="list-style-type: none"> <li>Compensating teachers and principals.</li> </ul>					
(D)(2)(iv)(b)	<ul style="list-style-type: none"> <li>Promoting teachers and principals.</li> </ul>					
(D)(2)(iv)(b)	<ul style="list-style-type: none"> <li>Retaining effective teachers and principals.</li> </ul>					
(D)(2)(iv)(c)	<ul style="list-style-type: none"> <li>Granting tenure and/or full certification (where applicable) to teachers and principals.</li> </ul>					
(D)(2)(iv)(d)	<ul style="list-style-type: none"> <li>Removing ineffective tenured and untenured teachers and principals.</li> </ul>					
[Optional: Enter text here to clarify or explain any of the data]						

# (D)(2) Performance Measures

## General data

<b>General data to be provided at time of application:</b>		
Total number of participating LEAs.		
Total number of principals in participating LEAs.		
Total number of teachers in participating LEAs.		
[Optional: Enter text here to clarify or explain any of the data]		

# (D)(2) Performance Measures

Heads-up: Data to be requested in annual reports

Criterion	Data to be requested of grantees in the future:	
(D)(2)(ii)	Number of teachers and principals in participating LEAs with qualifying evaluation systems.	
(D)(2)(iii)	Number of teachers and principals in participating LEAs with qualifying evaluation systems who were evaluated as effective or better in the prior academic year.	
(D)(2)(iii)	Number of teachers and principals in participating LEAs with qualifying evaluation systems who were evaluated as ineffective in the prior academic year.	
(D)(2)(iv)(b)	Number of teachers and principals in participating LEAs with qualifying evaluation systems whose evaluations were used to inform compensation decisions in the prior academic year.	
(D)(2)(iv)(b)	Number of teachers and principals in participating LEAs with qualifying evaluation systems who were evaluated as effective or better and were retained in the prior academic year.	
(D)(2)(iv)(c)	Number of teachers in participating LEAs with qualifying evaluation systems who were eligible for tenure in the prior academic year.	
(D)(2)(iv)(c)	Number of teachers in participating LEAs with qualifying evaluation systems whose evaluations were used to inform tenure decisions in the prior academic year.	
(D)(2)(iv)(d)	Number of teachers and principals in participating LEAs who were removed for being ineffective in the prior academic year.	

# Criterion (D)(3)

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## (D)(3)(i) Ensuring equitable distribution of effective teachers and principals *(25 pts)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to—

- (i) **Ensure the equitable distribution** of teachers and principals by developing a plan, informed by reviews of prior actions and data, to ensure that **students in high-poverty and/or high-minority schools** (both as defined in this notice) have equitable **access to highly effective** teachers and principals (both as defined in this notice) and are **not served by ineffective** teachers and principals at higher rates than other students; *(15 points)*

## (D)(3)(i) Evidence

Evidence for (D)(3)(i):

- **Definitions of high-minority and low-minority schools** as defined by the State for the purposes of the State's Teacher Equity Plan.

# (D)(3)(i) Performance Measures

## Goals: Baseline data and annual targets

Performance Measures for (D)(3)(i)	Actual Data: Baseline (Current school year or	End of SY 2010- 2011	End of SY 2011- 2012	End of SY 2012- 2013	End of SY 2013- 2014
<i>Note: All information below is requested for Participating LEAs.</i>					
<b>General goals to be provided at time of application:</b>	<b>Baseline data and annual targets</b>				
Percentage of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).					
Percentage of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).					
Percentage of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice) who are ineffective.					
Percentage of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice) who are ineffective.					
Percentage of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).					
Percentage of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice) who are highly effective (as defined in this notice).					
Percentage of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice) who are ineffective.					
Percentage of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice) who are ineffective.					
[Optional: Enter text here to clarify or explain any of the data]					



# (D)(3)(i) Performance Measures

## General data

<b>General data to be provided at time of application:</b>		
Total number of schools that are high-poverty, high-minority, or both (as defined in this notice).		
Total number of schools that are low-poverty, low-minority, or both (as defined in this notice).		
Total number of teachers in schools that are high-poverty, high-minority, or both (as defined in this notice).		
Total number of teachers in schools that are low-poverty, low-minority, or both (as defined in this notice).		
Total number of principals leading schools that are high-poverty, high-minority, or both (as defined in this notice).		
Total number of principals leading schools that are low-poverty, low-minority, or both (as defined in this notice).		
[Optional: Enter text here to clarify or explain any of the data]		

# (D)(3)(i) Performance Measures

Heads-up: Data to be requested in annual reports

Data to be requested of grantees in the future:	
Number of teachers and principals in schools that are high-poverty, high-minority, or both (as defined in this notice) who were evaluated as highly effective (as defined in this notice) in the prior academic year.	
Number of teachers and principals in schools that are low-poverty, low-minority, or both (as defined in this notice) who were evaluated as highly effective (as defined in this notice) in the prior academic year.	
Number of teachers and principals in schools that are high-poverty, high-minority, or both (as defined in this notice) who were evaluated as ineffective in the prior academic year.	
Number of teachers and principals in schools that are low-poverty, low-minority, or both (as defined in this notice) who were evaluated as ineffective in the prior academic year.	

## (D)(3)(ii) Ensuring equitable distribution of effective teachers and principals *(25 pts)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan and ambitious yet achievable annual targets to—

- (ii) Increase the number and percentage of effective teachers (as defined in this notice) **teaching hard-to-staff subjects and specialty areas** including mathematics, science, and special education; teaching in language instruction educational programs (as defined under Title III of the ESEA); and teaching in other areas as identified by the State or LEA. *(10 points)*

Plans for (i) and (ii) may include, but are not limited to, the implementation of incentives and strategies in such areas as recruitment, compensation, teaching and learning environments, professional development, and human resources practices and processes.

# (D)(3)(ii) Performance Measures

Goals: Baseline data and annual targets

Performance Measures for (D)(3)(ii)	Actual Data: Baseline (Current school year or most recent)	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
<b>General goals to be provided at time of application:</b>	<b>Baseline data and annual targets</b>				
Percentage of mathematics teachers who were evaluated as effective or better.					
Percentage of science teachers who were evaluated as effective or better.					
Percentage of special education teachers who were evaluated as effective or better.					
Percentage of teachers in language instruction educational programs who were evaluated as effective or better.					
[Optional: Enter text here to clarify or explain any of the data]					

# (D)(3)(ii) Performance Measures

## General data

<b>General data to be provided at time of application:</b>	
Total number of mathematics teachers.	
Total number of science teachers.	
Total number of special education teachers.	
Total number of teachers in language instruction educational programs.	
[Optional: Enter text here to clarify or explain any of the data]	

# (D)(3)(ii) Performance Measures

Heads-up: Data to be requested in annual reports

Data to be requested of grantees in the future:	
Number of mathematics teachers in participating LEAs who were evaluated as effective or better in the prior academic year.	
Number of science teachers in participating LEAs who were evaluated as effective or better in the prior academic year.	
Number of special education teachers in participating LEAs who were evaluated as effective or better in the prior academic year.	
Number of teachers in language instruction educational programs in participating LEAs who were evaluated as effective or better in the prior academic year.	

# Criterion (D)(4)

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## (D)(4) Improving the effectiveness of teacher and principal preparation programs *(14 pts)*

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

- (i) **Link student achievement and student growth** (both as defined in this notice) data to the students' teachers and principals, **to** link this information to the in-State **programs where those teachers and principals were prepared for credentialing**, and to publicly report the data for each credentialing program in the State; and
- (ii) **Expand** preparation and credentialing options and **programs** that are successful at **producing effective teachers and principals** (both as defined in this notice).



# (D)(4) Performance Measures

Goals: Baseline data and annual targets

Performance Measures	Actual Data: Baseline (Current school year or most	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
<b>General goals to be provided at time of application:</b>	<b>Baseline data and annual targets</b>				
Percentage of teacher preparation programs in the State for which the public can access data on the achievement and growth (as defined in this notice) of the graduates' students.					
Percentage of principal preparation programs in the State for which the public can access data on the achievement and growth (as defined in this notice) of the graduates' students.					
[Optional: Enter text here to clarify or explain any of the data]					

# (D)(4) Performance Measures

## General data

Performance Measures	Actual Data: Baseline (Current school year or most	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014
<b>General data to be provided at time of application:</b>					
Total number of teacher credentialing programs in the State.					
Total number of principal credentialing programs in the State.					
Total number of teachers in the State.					
Total number of principals in the State.					
[Optional: Enter text here to clarify or explain any of the data]					

# (D)(4) Performance Measures

Heads-up: Data to be requested in annual reports

Performance Measures	Actual Data: Baseline (Current school year or most	End of SY 2010- 2011	End of SY 2011- 2012	End of SY 2012- 2013	End of SY 2013- 2014
<b>Data to be requested of grantees in the future:</b>					
Number of teacher credentialing programs in the State for which the information (as described in the criterion) is publicly reported.					
Number of teachers prepared by each credentialing program in the State for which the information (as described in the criterion) is publicly reported.					
Number of principal credentialing programs in the State for which the information (as described in the criterion) is publicly reported.					
Number of principals prepared by each credentialing program in the State for which the information (as described in the criterion) is publicly reported.					
Number of teachers in the State whose data are aggregated to produce publicly available reports on the State's credentialing programs.					
Number of principals in the State whose data are aggregated to produce publicly available reports on the State's credentialing programs.					

# Criterion (D)(5)

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## (D)(5) Providing effective support to teachers and principals *(20 pts)*


The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan for its participating LEAs (as defined in this notice) to—

- (i) **Provide effective, data-informed professional development**, coaching, induction, and common planning and collaboration time to teachers and principals that are, where appropriate, ongoing and job-embedded. Such support might focus on, for example, gathering, analyzing, and using data; designing instructional strategies for improvement; differentiating instruction; creating school environments supportive of data-informed decisions; designing instruction to meet the specific needs of high-need students (as defined in this notice); and aligning systems and removing barriers to effective implementation of practices designed to improve student learning outcomes; and
- (ii) Measure, evaluate, and continuously improve the effectiveness of those supports in order to improve student achievement (as defined in this notice).



## (D)(5) Providing effective support to teachers and principals *(20 pts)*

The extent to which the State, in collaboration with its participating LEAs (as defined in this notice), has a high-quality plan for its participating LEAs (as defined in this notice) to—

- 
- (i) **Provide effective, data-informed professional development**, coaching, induction, and common planning and collaboration time to teachers and principals that are, where appropriate, ongoing and job-embedded. Such support might focus on, for example, gathering, analyzing, and using data; designing instructional strategies for improvement; differentiating instruction; creating school environments supportive of data-informed decisions; designing instruction to meet the specific needs of high-need students (as defined in this notice); and aligning systems and removing barriers to effective implementation of practices designed to improve student learning outcomes; and
  - (ii) **Measure, evaluate, and continuously improve the effectiveness** of those supports in order to improve student achievement (as defined in this notice).

(See application p. 43)

Break

## E. Turning Around the Lowest-Achieving Schools



# E. Turning Around the Lowest-Achieving Schools

## *State Reform Conditions Criteria*

(E)(1) Intervening in the lowest-achieving schools and LEAs

## *Reform Plan Criteria*

(E)(2) Turning around the lowest-achieving schools

## **Purposes:**

- Turn around the persistently lowest-achieving schools
- Fully align with Stabilization Fund and upcoming School Improvement Grants

# Criterion (E)(1)

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## (E)(1) Intervening in the lowest-achieving schools and LEAs *(10 pts)*

The extent to which the State has the legal, statutory, or regulatory authority to **intervene directly in the State's persistently lowest-achieving schools** (as defined in this notice) and in **LEAs** that are in improvement or corrective action status.

Evidence for (E)(1):

A description of the State's applicable laws, statutes, regulations, or other relevant legal documents.

# (E)(1) Reviewer Guidance

(In Appendix B)

## Reviewer Guidance Specific to (E)(1):

- *10 points are earned by States that can intervene directly in both schools and LEAs.*
- *5 points are earned by States that can intervene directly in either schools or LEAs, but not both.*
- *0 points are earned by States that cannot intervene in either schools or LEAs.*

## Criterion (E)(2)

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## (E)(2) Turning around the lowest-achieving schools *(40 pts)*

The extent to which the State has a high-quality plan and ambitious yet achievable annual targets to—

- (i) **Identify the persistently lowest-achieving schools** (as defined in this notice) and, at its discretion, **any non-Title I eligible** secondary schools that would be considered persistently lowest-achieving schools (as defined in this notice) if they were eligible to receive Title I funds; and *(5 points)*
- (ii) **Support its LEAs in turning around these schools by implementing one of the four school intervention models** (as described in Appendix C): turnaround model, restart model, school closure, or transformation model (provided that an LEA with more than nine persistently lowest-achieving schools may not use the transformation model for more than 50 percent of its schools). *(35 points)*

# Excerpt of Relevant Definition

**Persistently lowest-achieving schools** means...

- (i) Any Title I school in improvement, corrective action, or restructuring that
  - Is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five schools...whichever...is greater; or
  - Is a high school that has had a graduation rate...that is less than 60 percent...; and
- (ii) Any secondary school that is eligible for, but does not receive, Title I funds [as in (i) above]

To identify the lowest-achieving schools, a State must take into account both

- (i) The academic achievement of the “all students” group in a school in terms of proficiency on the State’s assessments under the ESEA in reading/language arts and mathematics combined; and
- (ii) The school’s lack of progress on those assessments over a number of years in the “all students” group.

# Excerpt from School Intervention Models

(In Appendix C)

- **Turnaround model.** Replace the principal and rehire no more than 50% of the staff, and grant the principal sufficient operational flexibility (including in staffing, calendars/time, and budgeting) to implement fully a comprehensive approach to substantially improve student outcomes.
- **Restart model.** Convert a school or close and reopen it under a charter school operator, a charter management organization, or an education management organization that has been selected through a rigorous review process.
- **School closure.** Close a school and enroll the students who attended that school in other schools in the LEA that are higher achieving.
- **Transformation model.** Implement each of the following strategies: (1) replace the principal; (2) develop and increase teacher and school leader effectiveness; (3) institute comprehensive instructional reform; (4) increase learning time and create community-oriented schools; (5) provide operational flexibility and sustained support.

Note: If an identified school has implemented, in whole or in part within the last two years, an intervention that meets the requirements of the turnaround, restart, or transformation models, the school may continue or complete the intervention being implemented.



## (E)(2) Evidence

Evidence for (E)(2):

- The **State's historic performance on school turnaround**, as evidenced by the total number of persistently lowest-achieving schools (as defined in this notice) that States or LEAs attempted to turn around in the last five years, the approach used, and the results and lessons learned to date.

# (E)(2) Evidence and Performance Measures

Evidence

## Evidence

Approach Used	# of Schools Since SY2004-05	Results and Lessons Learned

(Enter text here.)

Performance Measures

## Performance Measures

The number of schools for which one of the four school intervention models (described in Appendix C) will be initiated each year.

Actual Data: Baseline (Current school year or most	End of SY 2010-2011	End of SY 2011-2012	End of SY 2012-2013	End of SY 2013-2014

[Optional: Enter text here to clarify or explain any of the data]

# F. General

## F. General

### *State Reform Conditions Criteria*

- (F)(1) Making education funding a priority
- (F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools
- (F)(3) Demonstrating other significant reform conditions

### **Purposes:**

- General conditions conducive to education reform

# Criterion (F)(1)

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## (F)(1) Making education funding a priority

(10 pts)

The extent to which—

- (i) The percentage of the total **revenues** available to the State (as defined in this notice) that were **used to support** elementary, secondary, and public higher **education** for FY 2009 was greater than or equal to the percentage of the total revenues available to the State (as defined in this notice) that were used to support elementary, secondary, and public higher education for FY 2008; and
- (ii) The State's policies lead to **equitable funding** (a) between high-need LEAs (as defined in this notice) and other LEAs, and (b) within LEAs, between high-poverty schools (as defined in this notice) and other schools.

# (F)(1) Evidence

Evidence for (F)(1)(i):

- **Financial data** to show whether and to what extent expenditures, as a percentage of the total revenues available to the State (as defined in this notice), increased, decreased, or remained the same.

Evidence for (F)(1)(ii):

- Any supporting evidence the State believes will be helpful to peer reviewers.

# (F)(1) Reviewer Guidance

(In Appendix B)

## Reviewer Guidance Specific to (F)(1)(i):

- “High” points are earned if the **percentage of the total revenues** available to the State that were **used to support** elementary, secondary, and public higher **education increased** from FY2008 to FY2009.
- “Medium” points are earned if the percentage of the total revenues available to the State that were used to support elementary, secondary, and public higher education were **substantially unchanged** from FY2008 to FY2009.
- “Low” points are earned if the percentage of the total revenues available to the State that were used to support elementary, secondary, and public higher education **decreased** from FY2008 to FY2009.



## Criterion (F)(2)

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## (F)(2) Ensuring successful conditions for high-performing charter schools and other innovative schools *(40 pts)*

- Caps
- Authorizers/ Accountability
- Facilities
- Funding
- Other innovative, autonomous schools

## (F)(2)(i) Ensuring successful conditions for high-performing charter schools and other innovative schools *(40 pts)*

The extent to which—

- (i) The State has a **charter school law** that **does not prohibit or effectively inhibit increasing the number of high-performing charter schools** (as defined in this notice) in the State, measured (as set forth in Appendix B) by the percentage of total schools in the State that are allowed to be charter schools or otherwise restrict student enrollment in charter schools;

## (F)(2)(i) Evidence

Evidence for (F)(2)(i):

- A description of the **State's applicable laws**, statutes, regulations, or other relevant legal documents.
- The **number of charter schools allowed** under State law and the **percentage this represents of the total number of schools in the State**.
- The number and types of **charter schools currently operating** in the State.

# (F)(2)(i) Reviewer Guidance

(In Appendix B)

## Reviewer Guidance Specific to (F)(2)(i):

- “High” points are earned if the State either has **no cap** on the number of charter schools, or it has a **“high” cap** (defined as a cap such that, **if it were filled,  $\geq 10\%$  of the total schools in the State would be charter schools**); and the State does not have restrictions, such as those referenced in the “note to reviewers” that would be considered even mildly inhibiting.
- “Medium” points are earned if the State has a **“medium” cap** on the number of charter schools (defined as a cap such that, if it were filled,  **$\geq 5\%$  and  $< 10\%$**  of the total schools in the State would be charter schools); or the charter school law has sufficient flexibility to allow for an increase in the number of charter schools as if it were a medium or higher cap (e.g. by allowing for the creation of multiple campuses under the same charter); and the State does not have restrictions, such as those referenced in the “note to reviewers” below, that would be considered moderately or severely inhibiting.
- “Low” points are earned if the State has a **“low” cap** on the number of charter schools (defined as a cap such that, if it were filled,  **$< 5\%$**  of the total schools in the State would be charter schools) OR if the State has restrictions, such as those referenced in the “note to reviewers” below, that would be considered severely inhibiting.
- No points are earned if the State has **no charter school law**.

## (F)(2)(i) Reviewer Guidance *(continued)*

(In Appendix B)

**Note to reviewers:** *Charter school laws are so complex that it is hard to write rules to capture each possible obstacle to charter school growth; therefore, this rubric is meant to guide reviewers, not to bind them.*

*For example, if a State limits the number of charter schools by limiting the share of statewide or district-level funding that can go to charter schools, rather than by explicitly limiting the number of charter schools, reviewers should convert the funding restriction into an approximately equivalent limit on the number of schools and fit that into the guidelines here.*

*As reviewers assess the inhibitions on charter schools, they should look for restrictions such as: disallowing certain types of charter schools (e.g., startups or conversions); restricting charter schools to operate in certain geographic areas; and limiting the number, percent, or demographics of students that may enroll in charter schools. Some States have “smart caps” designed to restrict growth to high-performing charter schools; this is not a problem unless it effectively restricts any new (i.e., unproven) charter schools from starting.*

## (F)(2)(ii) Ensuring successful conditions for high-performing charter schools and other innovative schools *(40 pts)*

The extent to which—

- (ii) The State has laws, statutes, regulations, or guidelines regarding **how charter school authorizers approve, monitor, hold accountable, reauthorize, and close charter schools**; in particular, whether authorizers require that student achievement (as defined in this notice) be one significant factor, among others, in authorization or renewal; encourage charter schools that serve student populations that are similar to local district student populations, especially relative to high-need students (as defined in this notice); and have closed or not renewed ineffective charter schools;

## (F)(2)(ii) Evidence

Evidence for (F)(2)(ii):

- A description of the **State's approach to charter school accountability and authorization**, and a description of the State's applicable laws, statutes, regulations, or other relevant legal documents.
- For each of the last five years:
  - The number of charter school **applications** made in the State.
  - The number of charter school **applications approved**.
  - The number of charter school **applications denied and reasons** for the denials (academic, financial, low enrollment, other).
  - The number of **charter schools closed** (including charter schools that were not reauthorized to operate).



## (F)(2)(iii) Ensuring successful conditions for high-performing charter schools and other innovative schools *(40 pts)*

The extent to which—

(iii) The State's charter schools receive (as set forth in Appendix B) **equitable funding** compared to traditional public schools, and a commensurate share of local, State, and Federal revenues;

## (F)(2)(iii) Evidence

Evidence for (F)(2)(iii):

- A description of the **State's applicable laws**. statutes, regulations, or other relevant legal documents.
- A description of the State's approach to charter school funding, the **amount of funding passed through to charter schools per student**, and how those amounts compare with traditional public school per-student funding allocations.

## (F)(2)(iii) Reviewer Guidance

(In Appendix B)

### Reviewer Guidance Specific to (F)(2)(iii):

- “High” points are earned if the **per-pupil funding to charter school students is  $\geq 90\%$  of that which is provided to traditional public school students.**
- “Medium” points are earned if the per-pupil funding to charter school students is **80-89%** of that which is provided to traditional public school students.
- “Low” points are earned if the per-pupil funding to charter school students is  **$\leq 79\%$**  of that which is provided to traditional public school students, or the State does not have a charter school law.
- No points are earned if the State has no charter school law.

## (F)(2)(iv-v) Ensuring successful conditions for high-performing charter schools and other innovative schools (40 pts)

The extent to which—

- (iv) The State provides charter schools with funding for **facilities** (for leasing facilities, purchasing facilities, or making tenant improvements), assistance with facilities acquisition, access to public facilities, the ability to share in bonds and mill levies, or other supports; and the extent to which the State does not impose any facility-related requirements on charter schools that are stricter than those applied to traditional public schools; and
- (v) The State enables LEAs to **operate innovative, autonomous public schools** (as defined in this notice) **other than charter schools.**

## (F)(2)(iv-v) Evidence

Evidence for (F)(2)(iv):

- A description of the **State's applicable laws**, statutes, regulations, or other relevant legal documents.
- A description of the statewide **facilities supports provided** to charter schools, if any.

Evidence for (F)(2)(v):

- A description of **how the State enables LEAs to operate innovative, autonomous public schools** (as defined in this notice) other than charter schools.

# Criterion (F)(3)

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## (F)(3) Demonstrating other significant reform conditions *(5 pts)*

The extent to which the State, in addition to information provided under other State Reform Conditions Criteria, has created, through law, regulation, or policy, **other conditions favorable to education reform or innovation** that have increased student achievement or graduation rates, narrowed achievement gaps, or resulted in other important outcomes.

Evidence for (F)(3):

- A **description of the State's other applicable key education laws**, statutes, regulations, or relevant legal documents.

# Priorities



# Priorities

## Absolute Priority

- Comprehensive Approach to Education Reform

## Competitive Priority

- Emphasis on Science, Technology, Engineering, and Mathematics (STEM) **15 points (all or nothing)**

## Invitational Priorities

- Innovations for Improving Early Learning Outcomes
- Expansion and Adaptation of Statewide Longitudinal Data Systems
- P-20 Coordination, Vertical and Horizontal Alignment
- School-Level Conditions for Reform, Innovation, and Learning

# STEM Priority

To meet this priority, the State's application must have a high-quality plan that addresses all three aspects of the STEM priority:

- i. Offer a **rigorous course of study** in mathematics, the sciences, technology, and engineering;
- ii. Cooperate with industry experts, museums, universities, research centers, or other **STEM-capable community partners to prepare and assist teachers** in integrating STEM content across grades and disciplines, in promoting effective and relevant instruction, and in offering applied learning opportunities for students; and
- iii. **Prepare more students for advanced study and careers** in the sciences, technology, engineering, and mathematics, including by addressing the needs of underrepresented groups and of women and girls in the areas of science, technology, engineering, and mathematics.

# Program Requirements

# Program Requirements

- **Evaluation**
- Participating LEA scope of work
- **Make work available**
- **Technical assistance**
- State summative assessments

# Application Submission

# Application Submission Procedures

- Submitted on CD or DVD. Files must be in a .DOC,.DOCX, .RTF , or .PDF format. (PDF format preferred.)
- Submit a signed original of Sections III and IV of the application and one copy of that signed original
- Indicate CFDA number 84.395A on the mailing envelope
- Hand Delivery or Overnight Mail. (Note different addresses for hand delivery and Overnight mail delivery)
- Applications must be **received** (not postmarked!) by 4:30:00 p.m. (Washington DC time) on **January 19, 2010** for Phase 1. *Late applications will not be accepted.*

**Remember that January 18 is a holiday!**

# Competition Process

# Competition Process

The Department intends to use a two tier review process to judge eligible applications:

- Initial Tier – reviewers read, comment on and score assigned applications, using selection criteria and scoring rubric.
- Finalist Tier – States' teams present their proposals to panels of reviewers in Washington, D.C.
  - Team may include up to five people who will have significant ongoing roles and responsibilities in executing the State's plan.
  - Team cannot include consultants.



# Competition Phases

- States that apply in Phase 1 but are not awarded grants may reapply for funding in Phase 2 (together with those States that are applying for the first time in Phase 2).
- Phase 1 winners receive full-sized awards, and so do not apply for additional funding in Phase 2.

# Planning Considerations

# Planning Considerations

- Lining up the certification from the State's Attorney General
  - At a minimum, the following responses include descriptions of and statements and conclusions concerning State law, statute, and regulation, and will therefore require AG review:
    - Eligibility requirement (b)
    - Selection criteria (B)(1), (D)(1), (E)(1), (F)(1), (F)(2), (F)(3)
- Enlisting LEA participation and collecting required data
  - Signing up LEAs – see next slide
  - Some data elements may require States to collect information from participating LEAs – see especially criteria (A)(1), (D)(2), (D)(3)
- Completing the budget
- Lining up the three required signatures before you submit

# Planning for Participating LEAs

One potential way in which a State could approach and navigate the process of signing up participating LEAs:

- 1) The State outlines its statewide reform agenda and specific plans, in collaboration and consultation with LEAs, as appropriate, and keeps its LEAs aware of the plans as they develop.
- 2) The State creates a standard MOU or other binding agreement for LEAs to sign if they are interested in participating in the State's Race to the Top plans. To make this task simpler, a model MOU is included in the application package (see Appendix D); States may use this as-is, adapt it, or create their own anew.
- 3) Each LEA decides if it is interested in participating in the State's Race to the Top plan. If so, it completes the MOU, determines (together with the State) the portions of the plan in which it will participate, signs the MOU, and returns it to the State.

## Planning for Participating LEAs *(continued)*

- 4) The State reviews each MOU to ensure that it meets the requirements the State has set for LEA participation in “all or significant portions” of the State’s plan; the State countersigns the MOU if the LEA is accepted as a participant. (If an LEA is not accepted, States should have a process for providing feedback and allowing LEAs to resubmit. Note, however, that any LEA that signs up after the State has submitted its Race to the Top application will not be considered in the reviewers’ evaluations).
- 5) The State completes the tables that summarize LEA participation.
- 6) If the State is awarded a Race to the Top grant, its participating LEAs (including those that submitted too late to be included in the application) will have up to 90 days to complete final scopes of work. At the conclusion of that period, States will notify LEAs of their final section 14006(c) subgrants.

# Q&A

# Resources and Assistance

**Website:** [www.ed.gov/programs/racetothetop](http://www.ed.gov/programs/racetothetop)

- *Notice Inviting Applications*
  - *Application*
  - *Notice of Final Priorities, Requirements, Definitions, and Selection Criteria*
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## Supporting Materials:

- *Executive Summary of Race to the Top Notice of Final Priorities*
- *Frequently Asked Questions* (updated regularly)
- Presentations and transcripts (for all calls and convenings)

**Email questions:** [racetothetop@ed.gov](mailto:racetothetop@ed.gov)